

**DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT  
2008 DEPARTMENT OF ENERGY (DOE)  
WEATHERIZATION ASSISTANCE PROGRAM (WAP)  
CONTRACT  
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**EXHIBIT A**  
**(Standard Agreement)**

**SCOPE OF WORK**

1. Contractor agrees to provide Weatherization (WX) assistance to eligible participants residing in the service area described in Exhibit A, Section 5., pursuant to Title 42 of the United States Code (U.S.C) Section 6861 et seq., as amended, and 10 Code of Federal Regulations (CFR), Part 440, as amended, the Department of Energy Weatherization Assistance Program (DOE WAP) for low-income persons.

2. COMPLIANCE

All services and activities are to be provided in accordance with all applicable federal, state, and local laws and regulations, and as those laws and regulations may be amended from time to time, including but not limited to, pursuant to the following:

- A. The Energy Conservation in Existing Buildings Act of 1976, 42 U.S. C. §§ 6851 et seq., and 10 Code of Federal Regulation (CFR) Part 440;
- B. The Single Audit Act, 31 U.S.C. §§ 7301 et seq., and Office of Management and Budget (OMB) Circular A-133 and its appendices and supplements.

3. REQUIREMENTS, STANDARDS, AND GUIDELINES

The federal government directs the State to establish fiscal control and fund accounting procedures regarding DOE funds. Federal law also directs the State to ensure that the cost and accounting standards of the Office of Management Budget (OMB) apply to recipients of DOE funds. Therefore, Contractor agrees to apply all of the requirements, standards and guidelines contained in the following authorities, as they may be amended from time to time, to all of the procurement, administrative and other costs claimed under this Agreement, including those costs under subcontracts to this Agreement:

- A. OMB Circular A-102 (Common Rule for State and Local Governments), as codified by the Department of Energy (DOE) at 10 CFR Part 600 Subpart C;
- B. OMB Circular A-110 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Non-profit Organizations), as codified by DOE at 10 CFR Part 600 Subpart B;
- C. OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments);
- D. OMB Circular A-122 (Cost Principles for Non-Profit Organizations)
- E. OMB Circular A-133 (Audits of States, Local Government, and Non-Profit Organizations)

Contractor further agrees to execute and abide by all requirements in California Contractors Certification Clause 304 (CCC-304).

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4. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER

The DOE WAP Catalog of Federal Domestic Assistance number is 81.042. Award made available through the United States Department of Energy.

5. The services shall be performed in the following service area:

(INSERT)

6. Send all correspondence and fiscal and programmatic reports to:

State Agency:	Department of Community Services and Development
Section/Unit:	Field Operations
Address:	P.O. Box 1947 Sacramento, CA 95812-1947
Hand Delivery:	700 North 10 <sup>th</sup> Street, Room D215 Sacramento, CA 95811-0336
Phone:	(916) 341-4200
Fax:	(916) 327-3153

**EXHIBIT A, ATTACHMENT I**  
**ZIP CODE CROSS-REFERENCE**  
**July 2008**

COMMUNITY ENHANCEMENT SERVICES							MARAVILLA FOUNDATION				
90024	90263	91203	91334	91402	91608		90004	91006	91110	91510	93585
90025	90264	91204	91335	91403	91609		90005	91007	91114	91754	93586
90027	90265	91205	91337	91404	91610		90010	91009	91115	91755	93590
90028	90272	91206	91340	91405	91614		90016	91010	91116	91775	93591
90029	90290	91207	91341	91406	91615		90018	91011	91117	91776	
90036	90291	91208	91342	91407	91616		90019	91012	91118	91778	
90038	90292	91209	91343	91408	91617		90020	91016	91214	91801	
90039	90293	91210	91344	91409			90022	91017	91221	91802	
90046	90294	91301	91345	91410			90023	91020	91222	91803	
90048	90295	91302	91346	91411			90026	91021	91224	91804	
90049	90296	91303	91352	91412			90031	91023	91225	91841	
90056	90401	91304	91353	91413			90032	91024	91226	91896	
90064	90402	91305	91356	91416			90033	91025	91310	91899	
90066	90403	91306	91357	91423			90034	91030	91321	93243	
90067	90404	91307	91361	91426			90035	91031	91322	93510	
90068	90405	91308	91362	91436			90040	91046	91350	93532	
90069	90406	91309	91364	91501			90041	91066	91351	93534	
90077	90407	91311	91365	91502			90042	91076	91354	93535	
*90094	90408	91312	91366	91503			90058	91077	91355	93536	
90209	90409	91313	91367	91504			90063	91101	91380	93539	
90210	90410	91316	91372	91505			90065	91102	91381	93543	
90211	90411	91324	91376	91506			90201	91103	91382	93544	
90212	91040	91325	91392	91521			90202	91104	91383	93550	
90213	91041	91326	91393	91522			90270	91105	91384	93551	
*90230	91042	91327	91394	91523			90640	91106	91385	93552	
90231	91043	91328	91395	91605			91001	91107	91386	93553	
90232	91201	91331	91396	91606			91002	91108	91507	93563	
90233	91202	91333	91401	91607			91003	91109	91508	93584	

CHANGES:      \* ZIP Code added

**EXHIBIT A, ATTACHMENT I**  
**ZIP CODE CROSS-REFERENCE**  
**July 2008**

<b>Pacific Asian Consortium in Employment</b>				<b>Veterans in Community Services, Inc.</b>						<b>** Los Angeles County ZIP Codes Serviced by the Orange County CAA</b>
90001	90060	90307		90239	90670	90807	91722	91792		90631
90002	90061	90308		90240	90671	90808	91723	91793		90632
90003	90062	90309		90241	90701	90809	91724			90633
90006	*90071	90310		90242	90702	90810	91731			
90007	90220	90311		90255	90703	90813	91732			
90008	90221	90312		90262	90704	90814	91733			
90009	90222	90501		90274	90706	90815	91734			
90011	90223	90502		90275	90707	90822	91740			
90012	90224	90503		90280	90710	90823	91741			
90013	90245	90504		90601	90711	90831	91744			
90014	90247	90505		90602	90712	90832	91745			
90015	90248	90506		90603	90713	90833	91746			
90017	90249	90507		90604	90714	90834	91747			
90021	90250	90508		90605	90715	90835	91748			
90030	90251	90509		90606	90716	90840	91749			
90037	90254	90510		90607	90717	90842	91750			
90043	90260	90723		90608	90731	90844	91765			
90044	90261	90745		90609	90732	90845	91766			
90045	90266	90746		90610	90733	90846	91767			
90047	90267	90747		90631	90734	90847	91768			
90050	90277	90749		90637	90744	90848	91769			
90051	90278			90638	90748	90853	91770			
90052	90301			90650	90801	91702	91773			
90053	90302			90651	90802	91706	91780			
90054	90303			90652	90803	91711	91788			
90055	90304			90660	* 90804	91714	91789			
90057	90305			90661	90805	91715	91790			
90059	90306			90662	90806	91716	91791			

CHANGES: \* ZIP Code added

\*\* Orange County residents are serviced by Community Action Partnership of Orange County. All other residents are referred to the appropriate local service provider.



**EXHIBIT A, ATTACHMENT I**  
**ZIP CODE CROSS-REFERENCE**  
**July 2008**

<b>San Diego - Area B</b>			<b>San Diego-Imperial Service Area - Area A</b>	
<b>Metropolitan Area Advisory Committee</b>			<b>Campeños Unidos, Inc.</b>	
91901	92113		91941	92101
91902	92114		91942	92102
91905	92135		91945	92103
91906	92139		92003	92104
91910	92154		92004	92105
91911	92173		92007	92106
91913			92008	92107
91915			92024	92108
91916			92025	92109
91931			92026	92110
91932			92027	92111
91934			92028	92112
91935			92036	92115
91947			92037	92116
91948			92054	92117
91950			92055	92118
91963			92056	92119
91977			92059	92120
91978			92060	92121
91980			92061	92122
92009			92064	92123
92014			92065	92124
92019			92067	92126
92020			92068	92127
92021			92069	92128
92022			92070	92129
92040			92075	92130
92053			92082	92131
92066			92083	92133
92071			92084	92137
92079			92086	92145

**EXHIBIT B**  
**(Standard Agreement)**

**BUDGET DETAIL AND PAYMENT PROVISIONS**

1. **BUDGET CONTINGENCIES**

A. State Budget Contingency

- 1) It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Contractor or to furnish any other considerations under this Agreement and Contractor shall not be obligated to perform any provisions of this Agreement.
- 2) If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either cancel this Agreement with no liability occurring to the State, or offer an agreement amendment to Contractor to reflect the reduced amount.

B. Federal Budget Contingency

- 1) It is mutually understood between the parties that this Agreement may have been written for the mutual benefit of both parties before ascertaining the availability of congressional appropriation of funds, to avoid program and fiscal delays that would occur if this Agreement were executed after that determination was made.
- 2) This Agreement is valid and enforceable only if sufficient funds are made available to the state by the United States Government for the fiscal year 2008 for the purpose of this program. In addition, this Agreement is subject to any additional restrictions, limitations, or conditions enacted by the Congress or to any statute enacted by the Congress that may affect the provisions, terms, or funding of this Agreement in any manner.
- 3) The parties mutually agree that if the Congress does not appropriate sufficient funds for the program, this Agreement shall be amended to reflect any reduction in funds.
- 4) The Department has the option to invalidate the Agreement under the 30-day cancellation clause or to amend the Agreement to reflect any reduction in funds.
- 5) The State shall authorize expenditures of funds under this Agreement based on the Continuing Resolution appropriations. CSD shall notify the Contractor in writing of authorized interval funding levels.

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- 6) It is mutually agreed that if the Congress does not appropriate sufficient funds for this Program or appropriates additional funds, this Agreement shall be amended to reflect any increase or decrease in funds.

2. BUDGET GUIDELINES

A. Budget and Allocation Forms

- 1) Upon execution of this Agreement, Contractor shall submit the 2008 DOE Weatherization Budget (CSD 570) attached to this EXHIBIT B, based on the Maximum Amount of this Agreement in accordance with the accompanying instructions and other applicable provisions of this Agreement.
- 2) In the event the DOE annual grant award is yet to be determined and CSD funds this Agreement based on Continuing Resolution appropriations, Contractor shall complete the budget and allocation forms using the Estimated Budget Allocation amount as defined in EXHIBIT G. When this Agreement is amended to reflect the Final Allocation, the budget and allocation formula shall be amended to reflect the actual annual allocation.

B. Advance Payments

- 1) Upon written request by the Contractor, the State may issue one working capital advance in an amount not to exceed 25 percent (%) of the total amount of this Agreement. Contractor shall submit an advance payment request on agency letterhead or on the appropriate CSD DOE EARS reporting forms.
- 2) In the event this Agreement is amended to increase the consideration of this Agreement, a subsequent advance payment plus any previous advances already allowed shall not exceed 25% of the total amount of this Agreement. Subsequent advance payments may be authorized by the State if Contractor requests such an advance payment on agency letterhead or on the appropriate CSD DOE EARS reporting forms. The need for such additional advance payment shall be based upon a review of Contractor's cash flow status as recorded on Contractor's current monthly expenditure report(s).
- 3) The State will initiate repayment process of advance funds beginning with the sixth monthly reporting period of the contract term and ending with the tenth month of the contract term period, or whenever 75% of the total amount of this Agreement has been expended. The State shall begin

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applying approved expenditures to the outstanding advance balance, thereby offsetting any subsequent reimbursements. The State shall determine amounts to be offset by applying the balance of the advance equally into the remaining expenditure reporting periods. An exception may occur if the expenditure reports submitted are less than the applied settlement formula (as described in this section). In that case, the State shall apply the entire reimbursement amounts against the outstanding advance balance.

C. Subsequent Payments

Subsequent payments to Contractor shall be contingent upon receipt by the State of the monthly reimbursement and activity reports. If Contractor owes CSD any outstanding balances for overpayments of any contract, current or previous, the balance may be offset, based on arrangements made with the Contractor.

D. Interest on Advances

Contractor shall deposit all advances in an interest-bearing account. Interest accrued over \$100 per year, if Contractor is a government entity, or \$250 per year, if contractor is a nonprofit, shall be reimbursed by check to the federal government pursuant to 10 CFR 600.122(l) and 600.221(i).

3. ALLOWABLE COSTS

A. Cost Reporting

All costs shall be reported using a "modified accrual" or "accrual" method of accounting.

B. Administrative

1) General

a. Administrative costs shall not exceed the amounts as set forth in the project funding Contractor shall not use funds provided under this Agreement to cover administrative costs incurred in the Community Services Block Grant (CSBG) in excess of the CSBG contractual limitations.

b. Administrative Costs shall mean actual costs for auxiliary functions such as salaries, wages, workers compensation, and fringe benefits for administrative staff, facilities, utilities, equipment, telephone, travel, accounting, auditing, monitoring assistance, office supplies, and like services necessary to sustain

**EXHIBIT B**  
**(Standard Agreement)**

the direct effort involved in administering a grant program or an activity providing services to the grant program.

c. Contractors funded at less than \$350,000 may request an additional five percent (5%) by submitting the DOE Application for Additional Administrative Funds (CSD 574). Approval is contingent upon CSD's determination that the additional amount is needed to effectively implement the administrative requirements of the program.

2) Local governments shall use OMB Circular A-87 (Cost Principles for State and Local Governments) as a guide for determining administrative costs.

3) Private, nonprofit corporations shall use OMB Circular A-122 (Cost Principles for Nonprofit Organizations) as a guide for determining administrative costs.

C. Program Costs

1) General

Program costs are all allowable costs other than Administrative Costs. Program costs include those costs that are directly attributable to the performance of this Agreement and that are reasonable and necessary as determined by the State for the purpose of delivering services. Allowable costs shall be as set forth in Title 10, Code of Federal Regulations, Section 440.18(c).

2) Outreach

Outreach shall include those costs associated with outreach, its related services, liability insurance, vehicle equipment, and training.

3) Intake

Intake costs shall include, but are not limited to, the process of completing an intake form and reviewing applicant documentation in order to verify eligibility.

4) Client Education/Counseling Services

Contractor shall include those costs associated with providing group client education, energy conservation information, resource and referral, budget counseling and lead safe education.

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5) Direct Program Activities

Direct Program Activities shall mean those costs associated with the installation of measures to those dwellings weatherized and reported as completed, to include labor, materials, subcontractors, disposal fees, permits, HERS raters, lead-safe weatherization materials, and travel.

6) Workers Compensation

Workers Compensation shall mean those actual costs associated with workers compensation coverage for program staff whose salaries and wages are chargeable under program costs. Workers Compensation for salaries and wages of staff chargeable under administrative costs shall be reimbursable at actual costs under administrative costs.

7) Liability Insurance

Liability Insurance shall mean those actual costs allocated for insurance bonds, general liability, and pollution occurrence insurance.

8) Vehicle Insurance

Vehicle insurance shall mean those costs allocated for those vehicles used in the delivery of weatherization services.

9) Training

- a. Training and technical assistance shall not exceed the cost as set forth in the project funding page and shall be reimbursed at actual cost.
- b. Associated training and technical assistance costs may include costs related to: travel, admission, materials, and actual salaries/wages. On-the-job training is not reimbursable when the labor hours associated with the training are charged to a Weatherization measure for reimbursement.

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- c. Training and technical assistance shall include costs associated with the completion of Weatherization-related training such as: Lead-Safe Weatherization Training, Basic Weatherization Training, Environmental Hazardous Training, Blower Door Diagnostic Training, and Combustion Appliance Safety Training. Training may also include internal Contractor training, safety training, attendance of weatherization-related training, and/or workshops sponsored by utility companies, DOE, CSD, and/or other organizations offering a component of weatherization training.

10) Vehicle and Equipment

Acquisition Costs shall mean the actual costs associated with the purchase of vehicle and equipment over \$5,000 per unit.

11) Health & Safety

Contractor shall apply no more than 25 percent of the total program operations funds expended toward mitigating health and safety hazards based on heating and cooling services.

4. REIMBURSEMENT GUIDELINES

A. Claims for Reimbursement

Contractor may only claim reimbursements for actual, allowable, and allocable direct and indirect costs. For administrative efficiency during the term of this Agreement, CSD has incorporated fixed fees and other mechanisms that Contractor can use to seek reimbursement for various program services and activities on a monthly basis. At the end of the term of this Agreement Contractor shall report actual costs incurred for actual expenditures up to any applicable maximum amounts set by this Agreement. Any reimbursement received over and above Contractor's actual costs shall be reported Excess Revenue pursuant to the procedures in Close-Out Report, Section 5(C) below. Contractor shall reimburse CSD any Excess Revenue that was not expended for allowable program activities during the term of the agreement.

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**(Standard Agreement)**

**B. Weatherization**

- 1) Contractor may claim reimbursement for Weatherization-related activities under the terms of this Agreement as documented on the Weatherization Building Assessment and Job Checklist (CSD 540) or Contractor's equivalent for each eligible household not previously weatherized.
- 2) Contractor shall ensure that duplicate billings for the same product or service do not occur.
- 3) Maximum Reimbursements
  - a. Contractor shall be entitled to obtain a maximum average reimbursement of \$2,966 per dwelling unit weatherized for applying the conservation measures and activities described in EXHIBIT B, BUDGET DETAIL AND PAYMENT PROVISIONS, ATTACHMENT III, Reimbursement Rates for Weatherization Activities.
  - b. In the event that the Governor declares a State of Emergency or Local Emergency under Article 13 or 14 of the Emergency Services Act or any federal official declares an emergency pursuant to 42 USC 8622(1), the maximum average reimbursement shall be \$3,411 per dwelling unit.
  - c. Contractor shall not request reimbursement for more than one heating and/or cooling unit repaired or replaced per household.
  - d. Group Homes

The maximum reimbursement that can be paid for a group home shall be equal to the current maximum average allowed for single family and multi-unit dwellings.
  - e. Temporary Shelters/Homeless Individuals

Maximum reimbursement will be based on the unit otherwise qualifying as a multi-unit structure. For the purpose of determining how many dwelling units exist in a shelter, a grantee may count each 800 square feet of the shelter as a dwelling unit or it may count each floor of the shelter as a dwelling unit.



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4) Measure Reimbursement

a. General

- i. Reimbursement for Weatherization shall be claimed only once when LIHEAP and DOE WAP, or any other funding source, are used concurrently in the same unit.
- ii. Contractor may divide the material cost of a single-measure between LIHEAP, DOE, or other CSD program, when the single-measure in question is installed in a dwelling where Weatherization services are provided concurrently under these programs.

b. Measure Maximums

- i. For those Weatherization measures that have an established maximum rate, the reimbursement amount shall be equal to the actual labor hours of Weatherization crew members at the approved labor rate and the actual cost of the materials up to the maximum rate.
- ii. Weatherization measure costs exceeding the maximum reimbursement limit cannot be offset by charging the cost difference to another weatherization measure or to minor envelope repair.
- iii. No other CSD program can be used to offset those costs that exceed the maximum for any measure charged under another CSD program.
- iv. When costs for a measure exceed the maximum reimbursement allowed, Contractor shall obtain from their field representative, on a case-by-case basis, prior written approval to exceed the maximum or the measure shall be deferred, at the Contractor's option, due to the additional costs.

c. Fixed Fee Measures

For dwellings where DOE and LIHEAP Weatherization services are provided concurrently, Contractor shall not divide the reimbursement of a DOE fixed-fee reimbursable measure with LIHEAP or any other program.

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- d. Assessments and Diagnostics
  - i. Contractor may claim reimbursement for dwelling assessment for each eligible household.
  - ii. Contractor may claim reimbursement for dwelling assessment for each eligible unit not previously weatherized.
  - iii. If a dwelling was previously weatherized under a nonfederal program, the dwelling and occupant eligibility must be recertified; therefore, Contractor may claim reimbursement for assessment of dwelling and charge for intake.
  - iv. In the case of an unweatherized dwelling where the installation of measures was not feasible and/or the dwelling was not accessible to install measures, Contractor may claim reimbursement for any related assessments and/or diagnostic checks that were performed. Reimbursement for travel is not allowable.
  - v. Contractor may claim reimbursement for dwelling assessment only once when LIHEAP and DOE funds are used concurrently in the same unit.
- 5) Labor Reimbursement
  - a. Contractor shall use the approved labor rate for all Weatherization crew labor expenses related to the direct delivery of Weatherization services. The approved labor rate includes travel time, down time, supervision, inspection, support staff hours, and related operating expenses; therefore, Contractor shall not bill additional labor hours for these costs.
  - b. Contractor must be able to substantiate all actual labor hours and labor costs charged.
  - c. Contractor shall not divide the labor costs associated with the installation of a single measure among LIHEAP, DOE, or another CSD program.

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- d. If Contractor compensates Weatherization crew members using piecework as an alternative to hourly wages or salaries, Contractor shall contact CSD for instructions prior to commencing with services for the current program year.
- e. Actual Labor Hours
  - i. For measures that are not reimbursed by fixed fees, Contractor shall bill the number of actual labor hours associated with the installation of Weatherization measures for the time spent at the job site.
  - ii. Contractor shall bill the actual labor hours incurred by Weatherization crew members or other personnel associated with the direct facilitation of the disposal of appliances, the procurement of permits, and services performed by a Home Energy Rating System (HERS) Program Rater.
- f. Other Labor
  - i. Labor hours for other personnel are billable only if there are no billable hours for Weatherization crew members for these services. The approved labor rate will be allowable for Weatherization crew members only.
  - ii. When the installation of a measure is subcontracted and there are no billable labor hours for Weatherization crew members, Contractor shall bill, in addition to the subcontracted expenditure, actual labor hours incurred by other personnel associated with the direct facilitation of that subcontracted measure. The approved labor rate will not be allowable for other personnel under these circumstances. A modified fixed fee labor rate determined by the Contractor or actual labor costs shall be used. Any modified fixed fee labor rate that is to be used must be submitted for CSD for approval prior to requesting reimbursement for these costs.
  - iii. When the installation of a measure is subcontracted and there are billable labor hours for Weatherization crew members who share in the installation of that subcontracted measure, Contractor shall bill, in addition to the subcontracted expenditure, the actual labor hours incurred by crew members at the approved labor rate.

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6) Heating and Cooling Appliance Repair and Replacement

- a. If during the course of repairing a defective unit, additional problems are found that would increase the cost of repairs to more than established limits for repairs, Contractor may claim reimbursement for incurred costs related to the repair in addition to those costs associated with the replacement of the heating/cooling appliance.
- b. Dwellings in which a single appliance has been both repaired and replaced within Weatherization; or under a reweatherization call-back, may claim reimbursement for both the repair and the replacement of the appliance. Contractor shall report the single appliance as both a repaired and replaced appliance.
- c. For multi-unit dwellings with a common water heater, Contractor may claim reimbursement for only one water heater. Contractor may claim reimbursement for the actual number of water heater blankets used to wrap the common water heater. Contractor shall prorate the cost among all dwelling units within that building envelope.

7) Other Program Reimbursements

a. Permit and Disposal Fees

Permit and disposal fees are acceptable expenses and may be charged only once to LIHEAP Weatherization, LIHEAP ECIP EHCS, or Department of Energy (DOE) Weatherization, per appliance or weatherization measure, per weatherized dwelling. Permit and disposal fee reimbursement does include crew member or other personnel staff time and will be reimbursed based on the actual cost of the fee and actual labor hours.

b. Travel

Contractor shall be credited one round trip travel surcharge for any one dwelling weatherized or any one dwelling receiving assessments and diagnostic testing where weatherization services could not be provided due to client refusal or inability to gain access to the dwelling. Contractor may claim mileage reimbursement for travel to Single Family Dwelling (SFD) and Multi-Unit Dwelling (MUD) Units in which travel exceeds a distance of 30 miles (one way) from Contractor's material storage site or headquarters. Contractor shall maintain records and source

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documentation in such a manner to substantiate mileage claims by individual dwelling weatherized. The following defines the conditions for mileage reimbursement applicable to dwellings weatherized:

- i.      Single Family Dwelling (SFD)
  - (1)      Contractor may claim one travel surcharge equivalent to one (1) labor hour for each completed, weatherized SFD Unit plus \$18.00.
  - (2)      For SFD Units in excess of 30 miles (one way) from Contractor's material storage or headquarters, Contractor may claim mileage in addition to the SFD travel surcharge for each completed, weatherized SFD Unit. Contractor may claim mileage at a rate of \$0.91 per mile for each mile in excess of 30 miles (one way) or 60 miles round trip. Mileage reimbursement is limited to a single round trip, per completed SFD Unit; and Contractor may only claim the travel surcharge, fuel surcharge, and mileage reimbursement upon the completion of the SFD Unit.
- ii.     Multi-Unit Dwelling
  - (1)      Contractor may claim one MUD travel surcharge of \$8.50 for each completed, individual, weatherized unit within a MUD complex.
  - (2)      For MUD Units in excess of 30 miles (one way) from Contractor's material storage or headquarters, Contractor may claim mileage in addition to the MUD travel surcharge. Contractor may claim mileage at a rate of \$0.91 per mile for each mile in excess of 30 miles (one way) or 60 miles round trip. Mileage reimbursement is limited to a single round trip per day, for travel to a MUD regardless of the number of individual completed units.

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iii. Lodging and Per Diem

- (1) Contractor may claim reimbursement for lodging and per diem related to the installation of weatherization measures subject to travel and per diem rates as described in EXHIBIT D, SPECIAL TERMS AND CONDITIONS, Section 1 - Travel and Per Diem.

c. Overhead

All overhead costs shall be charged at actual costs to the appropriate monthly expenditure reporting line items. All other overhead costs without a reporting line item shall be included in the approved labor rate.

d. Clearance Inspections

Should a clearance inspection be required, agencies should defer the costs of the clearance inspection to the property owner and/or local housing authority. In many cases, the local housing authority has licensed inspectors and may possibly conduct a clearance inspection of a HUD unit free of charge. However, in those instances where the property owner and/or the local housing authority are unable to incur the costs of the clearance inspection, Contractors may seek a waiver allowing the cost of the inspection as a reimbursable activity. Waiver requests will be treated on a case-by-case basis and must be approved by CSD prior to beginning weatherization services. A copy of the clearance inspection must be placed and maintained in the client's file.

8) Dwelling Status

a. Completed Units

- i. Contractor shall not report a weatherized dwelling as completed nor shall Contractor request reimbursement for a weatherized dwelling until all weatherization measures identified during the dwelling assessment have been installed and completed. Contractor shall not bill for incomplete units or prematurely close a unit with outstanding measures in order to receive reimbursement for work completed. If there are measures found to be nonfeasible by crew members after the initial assessment,

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the reason for the nonfeasibility shall be documented in the client file and the dwelling shall be considered completed.

- ii. Contractor shall not report a dwelling as weatherized nor request reimbursement prior to the quality assurance certification confirming quality and completeness of work performed upon weatherized dwellings.

b. Unweatherized Dwellings

- i. Contractor may claim reimbursement for outreach and intake for each eligible unit not previously weatherized. Additionally, Contractor will be allowed to claim reimbursement when a safety check of combustion appliances reveals safety hazards that preclude installation of measures.
- ii. Contractor may claim reimbursement for weatherization activities as documented on the Weatherization Building Assessment and Job Checklist (CSD 540) or Contractor's equivalent for each eligible household not previously weatherized.

c. Previously Weatherized Dwellings

If the previous weatherization was performed under a nonfederal program or under this Agreement, the occupant eligibility must be certified; therefore, Contractor may claim outreach and intake costs.

d. Leveraged Units

Contractor may perform services and install energy conservation measures as per this Agreement and as per other energy programs concurrently in the same dwelling as feasible and in the best interest of the client; however:

- i. Contractor may not claim reimbursement for the same services performed and energy conservation measures(s) installed from more than one funding source.
- ii. Contractor may not split Fixed-Fee measures under DOE with any other funding source.
- iii. Contractor may not split DOE labor fees associated with a single measure with any other funding source.

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- iv. Contractor may claim reimbursement for outreach and intake only once when DOE and LIHEAP funds are used concurrently in the same unit.

C. Disaster Relief

Contractor may claim reimbursement for approved services for qualified disaster victims in accordance with the EXHIBIT F, ATTACHMENT I, DISASTER RELIEF PLAN.

5. REPORTING REQUIREMENTS

A. Monthly Reports

- 1) Contractor shall complete and submit to CSD, Contractor's expenditures and activities for Weatherization by entry onto the web-based, Expenditure Activity Reporting System (EARS). The monthly reports shall be submitted and received by-CSD on or before the fifteenth calendar day following the reporting period, irrespective of the level of activity or amount of expenditure in the preceding period.
- 2) Expenditures for Weatherization shall be reimbursed through the DOE Monthly Weatherization Expenditure/Activity Report via EARS.
- 3) For disaster-related expenditures, Contractor shall contact CSD for invoicing instructions.
- 4) All adjustments, if any, must be reported through EARS under the report period in which the expenditures occurred.

B. Annual Reports

- 1) DOE Annual Training and Technical Assistance Report (CSD 524)

Contractor shall submit information regarding training and technical assistance as well as group client education/counseling activities on an annual basis on the DOE Annual Training and Technical Assistance Report (CSD 524) to the State on or before the fifteenth calendar day following the reporting period, irrespective of the level of activity or amount of expenditures. The report shall cover the contract period of July 1, 2008 through June 30, 2009 and is due July 15, 2009.



**EXHIBIT B**  
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2) DOE Annual Leveraging Report (CSD 523)

Contractor shall submit information regarding leveraging activities on an annual basis on the DOE Annual Leveraging Report (CSD 523) to the State on or before the fifteenth calendar day following the reporting period, irrespective of the level of activity or amount of expenditures. The report shall cover the contract period of July 1, 2008 through June 30, 2009 and is due July 15, 2009.

C. CSD Review

- 1) CSD shall review Contractor's monthly reimbursement/activity reports and evaluate Contractor's performance related to program and fiscal operations and its demonstrated ability to effectively utilize all funds available under this Agreement.
- 2) The issuance of other CSD contracts, including reimbursement payments to the Contractor, shall be contingent upon timely receipt of the required reports, and/or noncompliance of program requirements of this Agreement.

D. Close-out Report

- 1) Contractor shall submit, on the appropriate CSD forms, a close-out report verifying all actual, allowable, and allocable costs expended during the term of this Agreement and return all unexpended funds to the State within 90 calendar days after expiration of this Agreement.
  - a. Administrative, health and safety, and training and technical assistance costs shall not exceed the maximum allowable amounts.
  - b. Any administrative, health and safety, and training and technical assistance costs that exceed these limits shall be disallowed.
  - c. Subsequent payments for DOE or other CSD contracts shall also be contingent upon timely receipt of the close-out report of this Agreement.
- 2) The close-out report shall include the following forms and be available on CSD's "Contractor's Only" website:
  - a. 2008 DOE Close-Out Checklist (CSD 720);
  - b. 2008 DOE Close-Out Equipment Inventory Schedule (CSD 720D); and

**EXHIBIT B**  
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c. 2008 DOE Close-Out Reconciliation Report (CSD 720E).

3.) Unexpended Funds

a. Contractor shall use the 2008 DOE Close-Out Reconciliation Report (CSD 720E) to reconcile and report actual costs, interest earned, and reimbursements and advance payments received.

b. Any unexpended funds shall be returned to CSD at the time the close-out report is submitted.

4) Any weatherization materials purchased with these grant funds and remaining at the expiration of this Agreement shall be credited against Contractor's weatherization materials expenditures under this Agreement and charged to whatever other weatherization program Contractor may have in effect. If Contractor has no other weatherization program in effect, the State shall be contacted for disposition instructions.

6. SCHEDULE OF ATTACHMENTS

The following attachments to this exhibit are hereby attached and incorporated by this reference:

A. ATTACHMENT I 2008 DOE WEATHERIZATION BUDGET (CSD 570);

B. ATTACHMENT II 2008 DOE WEATHERIZATION PRIORITY PLAN NARRATIVE (CSD 793); and

C. ATTACHMENT III REIMBURSEMENT RATES FOR WEATHERIZATION ACTIVITIES.

**EXHIBIT B**  
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ATTACHMENT I

2008 DOE WEATHERIZATION BUDGET (CSD 570)

**EXHIBIT B - ATTACHMENT I  
2008 DOE WEATHERIZATION BUDGET**

Contractor Name:		Contract Number:	Telephone Number:
Class "B" Contractor's License No.:	Name on License:		Expiration Date:
Prepared By (Print Name/Title):	E-mail Address:		Fax Number:
<b>10 - ADMINISTRATIVE COSTS</b>			
1.	Administrative Costs (Not to exceed allocated amount)		\$
<b>20 - PROGRAM COSTS</b>			
1.	Client Education		\$
2.	Direct Program Activities		
3.	Health and Safety (Not to exceed 25% of the total of Lines 12)		
4.	Intake		
5.	Liability Insurance		
6.	Outreach		
7.	Training and Technical Assistance (Not to exceed allocated amount)		
8.	Vehicle and Equipment (Acquisition costs)		
9.	Vehicle Insurance		
10.	Workers' Compensation		
11	<b>TOTAL PROGRAM COSTS (Total of Lines 1-10)</b>		\$
<b>30 - TOTAL COSTS (Total of Lines 1 &amp; 11)</b>			\$
<b>40 - TOTAL HOUSEHOLDS</b>			#
<b>50 - APPROVED LABOR RATE</b>			\$

**INSTRUCTIONS**  
**EXHIBIT B – ATTACHMENT I**  
**DOE WEATHERIZATION PROGRAM BUDGET**  
**CSD 570 (Rev. 06/16/08)**

**SECTION 10 – ADMINISTRATIVE COSTS**

Line 1 – Administrative Costs - Enter the amount of funds allocated for all Administrative Costs. Administrative costs include salaries, wages, workers compensation, and fringe benefits for administrative staff, accounting, facilities, office equipment and supplies, telephone, travel, utilities and other administrative costs related to activities subject to DOE program rules.

*Note: In calculating the allowable administrative costs, any carryover funds allocated from a previous program year CANNOT be used in calculating the allowable administrative costs. Administrative costs are limited to new funding only. Calculate the percentage of total Administrative Costs to the Contract Amount EXCLUDING ANY CARRYOVER AMOUNTS ALLOCATED TO YOUR AGENCY. The total of Administrative Costs is limited to five percent (5%) of the contract budget (new funding only). (See CSD 574 to apply for additional administrative funds.)*

**SECTION 20 – PROGRAM COSTS**

Line 1 – Client Education – Enter the amount of funds allocated for client education subject to DOE program rules.

Line 2 – Direct Program Activities – Enter the amount of funds allocated for Direct Program Activities subject to DOE program rules. Include costs associated with the installation of measures including labor, materials, subcontractors, disposal fees, permits, and travel. Do not include health and safety measures and lead-safe weatherization.

Line 3 - Health and Safety - Enter the amount of funds allocated for health and safety labor and materials including lead-safe weatherization subject to DOE program rules. Health and safety labor and materials are limited to 25 percent of Program Costs (Sections 20). Calculate the percentage of the total health and safety to the total Program Costs (Section 20) by dividing line 3 by line 11.

Line 4 – Intake – Enter the amount of funds allocated for Intake activities.

Line 5 - Liability Insurance - Enter the amount of funds allocated for insurance bonds, general liability and pollution occurrence insurance. Do not include vehicle insurance in accordance with DOE program rules.

Line 6 – Outreach – Enter the amount of funds allocated for Outreach activities.

Line 7 - Training and Technical Assistance - Enter the amount of funds allocated for training and technical assistance subject to DOE program rules. The funds allocated cannot exceed the amount as provided by CSD.

Line 8 - Vehicles and Equipment (Acquisition Costs) - Enter the acquisition (actual cost to purchase) vehicle and equipment costs. These are purchases that are over \$5,000. Vehicle purchases need prior approval from CSD.

Line 9 – Vehicle Insurance – Enter the amount of funds allocated for insurance for weatherization vehicles.

Line 10 – Workers’ Compensation – Enter the amount of funds allocated for Workers’ Compensation for program staff. Do not include workers’ compensation for salaries allocated to administrative costs.

Line 11 - Total Other Program Costs - Enter the sum of Lines 2 through 11.

*Note: The total Program Costs shall not be less than 95% of the total Contract Amount unless additional administrative funds have been applied for. (See CSD 574 to apply for additional administrative funds.)*

**SECTION 30 – TOTAL COSTS**

Enter the sum of Lines 1 and 11. Verify the total allocation as provided by CSD.

**SECTION 40 – TOTAL HOUSEHOLDS**

Enter the number of households projected to be weatherized during the 2008 Program Year.

**SECTION 50 – APPROVED LABOR RATE**

Enter the contractor approved labor rate as approved by CSD.

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ATTACHMENT II

2008 DOE WEATHERIZATION PRIORITY PLAN NARRATIVE (CSD 793)

**EXHIBIT B - ATTACHMENT II**  
**2008 DOE WEATHERIZATION PRIORITY PLAN NARRATIVE**

Contractor:		Contract Number:	
Prepared By (Print Name/Title):	E-Mail Address:		Telephone Number:
<b>PRIORITY PLAN NARRATIVE INSTRUCTIONS</b>			
<b>The DOE Weatherization Priority Plan Narrative should be structured to be consistent with the goals identified in Exhibit B, Attachment I, CSD 570, DOE Weatherization Budget, Section 55. Use additional pages, if necessary.</b>			
<b>1) Describe in narrative format the selection process for dwellings to be weatherized and the outreach methods to be utilized to assure that eligible households are made aware of the services through DOE WAP or any similar energy-related assistance program</b>			
<b>2) Describe in narrative format your selection process to ensure compliance with the DOE Reweatherization Policy when providing services to dwellings previously weatherized from September 30, 1993 and earlier.</b>			
<b>3) Describe in narrative format a description of how your client education services will be provided to include needs assessments, budget education/counseling, energy conservation and weatherization measures education. Describe how your activities are designed to target households that have not been previously served under a LIHEAP or DOE WAP Weatherization program.</b>			

**EXHIBIT B - ATTACHMENT II**  
**2008 DOE WEATHERIZATION PRIORITY PLAN NARRATIVE**

Contractor:	Contract Number:
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<b>4) Describe in narrative format a description of how you will provide T&amp;TA to your administrative and program staff.</b>

<b>5) Describe in narrative format how you will leverage DOE WAP funds with other available program funds and how much leveraging you plan on coordinating.</b>



**EXHIBIT B**  
**(Standard Agreement)**

ATTACHMENT III

REIMBURSEMENT RATES FOR WEATHERIZATION ACTIVITIES.

**EXHIBIT B**  
**(Standard Agreement)**

**ATTACHMENT III: REIMBURSEMENT RATES FOR WEATHERIZATION ACTIVITIES**

1. REIMBURSEMENT RATES FOR WEATHERIZATION ACTIVITIES

<b>A.</b>	<b>Assessments/Diagnostics per Dwelling</b>
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Following the performance of all applicable dwelling assessment and diagnostic testing, all feasible Health and Safety Measures, Mandatory Measures and Priority List Measures must be installed before Optional Measures are provided.

- |    |  |                      |
|----|--|----------------------|
| 1) | Unit Assessment                            |                      |
|    | Units with attics                          | \$65.00 <sup>1</sup> |
|    | Units without attics                       | \$40.00 <sup>1</sup> |
| 2) | Combustion Appliance Safety Test           |                      |
|    | Pre-Test                                   | \$70.00              |
|    | Post-Test                                  | \$40.00              |
| 3) | Blower Door Test                           | \$75.00 <sup>2</sup> |
| 4) | Duct Leakage Test (with Duct Blaster only) |                      |
|    | Pre-Test                                   | \$60.00 <sup>3</sup> |
|    | Post-Test                                  | \$50.00 <sup>3</sup> |

<b>B.</b>	<b>Health and Safety Measures per Dwelling</b>
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Health or Safety Hazard Repair or Replacement includes the repair of unsafe conditions identified as “Required Repairs” in the CSD Weatherization Installation Standards (WIS) and Combustion Appliance Safety Inspection Form (CASIF). Indicate on the Weatherization Building Assessment and Job Order Sheet, CSD 540, or Contractor’s equivalent, that health or safety conditions are addressed.

- |    |  |                                     |
|----|--|-------------------------------------|
| 1) | Carbon Monoxide Alarm, per dwelling              |                                     |
|    | Line-cord or Hard-wired, one or more             | Maximum \$189.00 <sup>4</sup>       |
|    | Lithium Battery, one or more                     | Maximum \$135.00 <sup>4</sup>       |
| 2) | Gas and Electric Cooking Appliance, per dwelling |                                     |
|    | Repair and Maintenance, Gas and Electric         | Maximum \$375.00 <sup>6, 7</sup>    |
|    | Replacement, Gas and Electric Range or Cook Top  | Maximum \$750.00 <sup>5, 6, 7</sup> |
| 3) | Gas Water Heater, per dwelling                   |                                     |
|    | Repair   | Maximum \$490.00 <sup>5, 6, 7</sup> |
|    | Replacement, Closed Combustion                   | Maximum \$980.00 <sup>5, 6, 7</sup> |

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	Replacement, Open Combustion	Maximum \$980.00 <sup>5, 6, 7</sup>
4)	Heating Source Repair	
	Exterior Wall Direct Vent Furnace	Maximum \$540.00 <sup>5, 6, 7, 8</sup>
	Forced Air Unit (FAU), Split System	Maximum \$1044.00 <sup>5, 6, 7, 8</sup>
	Floor Furnace	Maximum \$621.00 <sup>5, 6, 7, 8</sup>
	Interior Wall Furnace	Maximum \$792.00 <sup>5, 6, 7, 8</sup>
	Mobile Home Furnace	Maximum \$742.00 <sup>5, 6, 7, 8</sup>
	Other Types Not Listed	Maximum \$1,080.00 <sup>5, 6, 7, 8, 9</sup>
	Package Unit (Dual Pack)	Maximum \$1,530.00 <sup>5, 6, 7, 8</sup>
	Wood Fueled Appliance	Maximum \$1080.00 <sup>5, 6, 7, 11, 12</sup>
	or 30% of replacement for all heater types	
5)	Heating Source Replacement	
	Exterior Wall Direct Vent Furnace	Maximum \$1,800.00 <sup>5, 6, 7</sup>
	Forced Air Unit (FAU), Split System	Maximum \$3,480.00 <sup>5, 6, 7</sup>
	Floor Furnace	Maximum \$2,070.00 <sup>5, 6, 7</sup>
	Interior Wall Furnace	Maximum \$2,640.00 <sup>5, 6, 7</sup>
	Mobile Home Furnace	Maximum \$2,472.00 <sup>5, 6, 7</sup>
	Other Types Not Listed	Maximum \$3,600.00 <sup>5, 6, 7, 9, 10</sup>
	Package Unit (Dual Pack)	Maximum \$5,100.00 <sup>5, 6, 7</sup>
	Wood-Fueled Appliance	Maximum \$3,600.00 <sup>5, 6, 7, 11, 12</sup>

C. Mandatory Measures
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Mandatory Measures including Infiltration Reduction, General Heat Waste, and Electric Base Load Measures need not be installed in priority order. All feasible Mandatory and Priority List Measures must be installed before Optional Measures.

Infiltration Reduction Measures
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1)	Caulking, per dwelling	
	Mobile Home	\$90.00 <sup>14</sup>
	Multi Unit	\$45.00 <sup>14</sup>
	Single Family	\$75.00 <sup>14</sup>
2)	Cover Plate Gaskets, per dwelling	\$33.00 <sup>14</sup>
3)	Duct and Register Repair/Replacement, per dwelling	Maximum \$1,223.00
4)	Glass Replacement & Window Repair, per dwelling	Maximum \$390.00 <sup>15</sup>

**EXHIBIT B**  
**(Standard Agreement)**

5)	Minor Envelope Repair, per dwelling	Maximum of \$887.00 <sup>11, 14, 15, 16</sup>
6)	Sliding Glass Door, per dwelling	
	Repair	Maximum \$400.00
	Replacement	Maximum \$950.00
7)	Weatherstripping, Hinged Exterior Door, per door	\$44.00 <sup>14</sup>
8)	Weatherstripping, Other, per linear foot	\$2.10 <sup>14, 17</sup>
9)	Window Replacement, per window	Maximum average \$925.00 <sup>15</sup>

General Heat Waste Measures
-----------------------------

1)	Evaporative Cooler/Air Conditioner Vent Cover, per cover	\$66.00 <sup>14</sup>
2)	Hot Water Flow Restrictor, per device	
	Faucet Restrictor	\$8.00 <sup>4</sup>
	Hand-Held Low-Flow Showerhead	\$35.00 <sup>4</sup>
	Low-Flow Showerhead	\$27.00 <sup>4</sup>
3)	Water Heater Blanket, per blanket	\$55.00 <sup>4</sup>
4)	Water Heater Pipe Wrap, per linear foot of pipe	\$3.90 <sup>4</sup>

Electric Base Load Measures

1)	Compact Fluorescent Lamps	
	Hard-Wired, limit one per dwelling	Maximum \$85.00 <sup>4, 22</sup>
	Thread-based Compact	\$10.00 <sup>4, 22</sup>
	Limit ten per dwelling	\$100.00
2)	Electric Water Heater, per dwelling	
	Repair	Maximum \$490.00 <sup>5, 7</sup>
		or 50% of replacement
	Replacement	Maximum \$980.00 <sup>4, 5, 7</sup>
3)	Refrigerator Replacement, per dwelling	
	19 cu. ft. and under	Maximum \$1,032.00 <sup>4, 18, 22, 23</sup>
	Over 19 cu. ft.	Maximum \$1,187.00 <sup>4, 18, 22, 23</sup>

**EXHIBIT B**  
**(Standard Agreement)**

<b>D.</b>	<b>Priority List Measures</b>
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Contractor shall install all Priority List Measures where feasible in site-built single family dwellings and multi-unit dwellings with less than five units.

- |    |   |  |
|----|---|--|
| 1) | Attic Venting, per dwelling - DOE Zones 4 & 5<br>In conjunction with ceiling insulation only                      | Maximum \$355.00 <sup>4, 13</sup>                                      |
| 2) | Ceiling Insulation - DOE Zones 4 & 5<br>R-11, R19, R30, R38   | No maximum limit <sup>4</sup>  |
| 3) | Duct Insulation – All applicable CEC Zones,<br>If required by Title 24, per square foot                           | \$0.95 <sup>4</sup>  |
| 4) | Cooling Source Repair – DOE Zone 5 only<br>Evaporative Cooler, per dwelling -                                     | Maximum \$550.00 <sup>4, 5, 6, 8, 18</sup>                             |
| 5) | Cooling Source Replacement – DOE Zone 5 only<br>Evaporative Cooler Installation, per dwelling                     |  |
|    | New Roof Unit   | Maximum \$1,100.00 <sup>4, 5, 6, 7, 18, 19, 22</sup>                   |
|    | New Wall Unit   | Maximum \$850.00 <sup>4, 5, 6, 7, 18, 19, 22</sup>                     |
|    | New Window Unit   | Maximum \$936.00 <sup>4, 5, 6, 7, 18, 19, 22</sup>                     |
|    | Existing Roof Unit  | Maximum \$1,020.00 <sup>4, 5, 6, 7, 18, 19, 22</sup>                   |
|    | Existing Wall Unit  | Maximum \$900.00 <sup>4, 5, 6, 7, 18, 19, 22</sup>                     |
|    | Existing Window Unit  | Maximum \$900.00 <sup>4, 5, 6, 7, 18, 19, 22</sup>                     |
| 6) | Floor Foundation Venting, per dwelling<br>In conjunction with floor insulation only                               | Maximum \$360.00 <sup>4, 13</sup>                                      |
| 7) | Floor Insulation - DOE Zone 4 only<br>Over 36" Clearance, per square foot<br>Under 36" Clearance, per square foot | No Maximum Limit <sup>4, 20</sup><br>No Maximum Limit <sup>4, 20</sup> |
| 8) | Kneewall Insulation - DOE Zones 4 & 5<br>R-11, R-19   | No maximum limit <sup>4</sup>  |
| 9) | Storm Windows - DOE Zone 5 only<br>Per square foot  |  |
|    | Fixed, Glass Glazing  | \$12.40 <sup>14</sup>  |
|    | Fixed, Polycarbonate  | \$18.40 <sup>14</sup>  |
|    | Operable, Glass Glazing   | \$13.90 <sup>14</sup>  |
|    | Operable, Polycarbonate   | \$21.40 <sup>14</sup>  |
|    | Other   | \$750.00 <sup>14, 22</sup>   |

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- 10) Thermostat, per dwelling - DOE Zones 4 & 5  
Unless required by Title 24 – All Applicable CEC Zones  
Programmable \$157.00 <sup>4, 21, 22</sup>

E.	Optional Measures
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All of the following Optional Measures shall not be installed unless a NEAT Energy Audit has been performed and the measure has a savings-to-investment ratio (SIR) of 1 or greater.

- |    |   |   |
|----|---|---|
| 1) | NEAT Energy Audit   | No maximum  |
| 2) | Attic Venting, per dwelling – Excludes DOE Zones 4 & 5<br>In conjunction with ceiling insulation only   | Maximum \$355.00 <sup>4, 13</sup>   |
| 3) | Ceiling Insulation - Excludes DOE Zones 4 & 5<br>R-11, R19, R-30, R-38  | No maximum limit <sup>4</sup>   |
| 4) | Duct Insulation, per square foot  | \$.95 <sup>4</sup>  |
| 5) | Cooling Source Repair<br>Air Conditioning, per dwelling<br>Forced Air Unit (FAU), Split System<br>Other Types Not Listed<br>Wall/Window Unit  | Max. \$1,320.00 <sup>4, 5, 6, 7, 8, 11, 19, 25</sup><br>Maximum \$250.00 <sup>4, 5, 8, 9, 25</sup><br>50% of replacement <sup>4, 5, 6, 7, 8, 11, 19, 25</sup><br>or 50% of replacement for all<br>cooler types  |
| 6) | Cooling Source Repair<br>Evaporative Cooler Repair and Maintenance, per dwelling -<br>Excludes DOE Zone 5   | Maximum \$550.00 <sup>4, 5, 6, 8</sup><br>or 50% of replacement   |
| 7) | Cooling Source Replacement<br>Air Conditioning, per dwelling<br>Forced Air Unit (FAU), Split System<br>Multi-Story 110V Wall Unit<br>Multi-Story 110V Window Unit<br>Single-Story 110V Wall Unit<br>Single-Story 110V Window Unit<br>220V Wall Unit<br>220V Window Unit<br>Other Types Not Listed | Maximum \$2,640.00 <sup>4, 5, 6, 7, 18, 19, 22</sup><br>Maximum \$1,194.00 <sup>4, 5, 6, 7, 18, 19, 22</sup><br>Maximum \$942.00 <sup>4, 5, 6, 7, 18, 19, 22</sup><br>Maximum \$816.00 <sup>4, 5, 6, 7, 18, 19, 22</sup><br>Maximum \$624.00 <sup>4, 5, 6, 7, 18, 19, 22</sup><br>Maximum \$1,329.00 <sup>4, 5, 6, 7, 18, 19, 22</sup><br>Maximum \$1,077.00 <sup>4, 5, 6, 7, 18, 19, 22</sup><br>Maximum \$500.00 <sup>4, 5, 9</sup> |

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8)	Cooling Source Replacement	
	Evaporative Cooler Installation, per dwelling - Excludes DOE Zone 5	
	New Roof Unit	Maximum \$1,100.00 <sup>4, 5, 6, 7, 18,19,22</sup>
	New Wall Unit	Maximum \$850.00 <sup>4, 5, 6, 7, 18,19, 22</sup>
	New Window Unit	Maximum \$936.00 <sup>4, 5, 6, 7, 18,19, 22</sup>
	Existing Roof Unit	Maximum \$1,020.00 <sup>4, 5, 6, 7, 18,19, 22</sup>
	Existing Wall Unit	Maximum \$900.00 <sup>4, 5, 6, 7, 18,19, 22</sup>
	Existing Window Unit	Maximum \$900.00 <sup>4, 5, 6, 7, 18,19, 22</sup>
9)	Electric Water Heater Timer, per timer	\$112.00 <sup>4</sup>
10)	Floor Foundation Ventilation, per dwelling	Maximum \$360.00 <sup>4, 13</sup>
11)	Floor Insulation – Excludes DOE Zones 4 & 5	
	Over 36” Clearance, per square foot	No Maximum Limit <sup>4, 20</sup>
	Under 36” Clearance, per square foot	No Maximum Limit <sup>4, 20</sup>
12)	Kneewall Insulation - Excludes Zones 4 & 5 R-11, R-19	No maximum limit <sup>4</sup>
13)	Shadescreens, per square foot	Maximum \$500 <sup>4</sup>
14)	Shutters, per square foot	\$6.00 <sup>4</sup>
15)	Storm Windows, per square foot – Excludes DOE Zone 5	
	Fixed, Glass Glazing	\$12.40 <sup>14</sup>
	Fixed, Polycarbonate	\$18.40 <sup>14</sup>
	Operable, Glass Glazing	\$13.90 <sup>14</sup>
	Operable, Polycarbonate	\$21.40 <sup>14</sup>
	Other	Maximum \$750.00 <sup>14, 22</sup>
16)	Thermostat, per dwelling - Excludes DOE Zones 4 & 5	
	Manual	\$65.00 <sup>4, 21, 22</sup>
	Programmable	\$157.00 <sup>4, 21, 22</sup>
17)	Tinted Window Film, per square foot	\$3.30 <sup>4</sup>
18)	Wall Insulation, Stucco and Wood, per square foot	\$1.05 <sup>4</sup>

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F.	Other Weatherization and Travel Costs
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- |    |                                       |   |
|----|---------------------------------------|---|
| 1) | Shop Fee, per dwelling                | \$10.00 <sup>26</sup>                     |
| 2) | Travel Credit, per dwelling           |   |
|    | Single Family Dwelling (1 to 4 units) | One hour of labor + \$18.00 <sup>27</sup> |
|    | Multi-Unit Dwelling (5 or more units) | \$8.50 <sup>27</sup>                      |
| 3) | Mileage, per mile                     | \$0.91 <sup>28</sup>                      |

G.	Footnotes
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- 1 Unit assessments are charged for each completed unit in addition to applicable blower and/or duct testing.
- 2 Following a determination that no combustion byproduct hazards exist, pre-weatherization blower door testing for shell-sealing purposes is a mandatory activity on a minimum of twenty percent (20%) of the total SFD (1 to 4 units) and a minimum of five percent (5%) of MUD (5 or more units) weatherized under this Agreement.
- 3 A duct leakage test using the Duct Blaster is a stand-alone test and may be performed in conjunction with the Blower Door Test for purposes of assessing outside air infiltration.
- 4 If a combustion appliance safety hazard or other unsafe conditions requiring repair is found to exist and cannot be repaired under the scope of the program, Contractor may apply the non-envelope sealing measures identified by this note.
- 5 May be classified as a Health and Safety Measure if a safety hazard exists. If no safety hazard exists, the measure may be installed as a Priority List Measure, Electric Base Load Measure, or Optional Measure subject to the NEAT Energy Audit. Age of the appliance cannot be used as a criterion for replacement.
- 6 If required by the local jurisdiction, a building permit must be obtained and finalized for vented appliance installations (Furnace, Boiler, Water Heater, Oven and Range, and Vented Space Heater), Evaporative Cooler, Central HVAC, and Wood-Fueled Space Heater installations. A copy of the finalized permit must be placed in client's file.
- 7 Special licensing is required for the installation of Central HVAC systems, Furnace, and Boilers. Special licensing may also be required for the installation and/or repair of Evaporative Cooler, Oven and Range, Vented Space Heater, Air Conditioning, and Gas and Electric Water Heaters, if two or more weatherization measures are not installed in a single unit. Electrical wiring upgrade/replacement and knob-and-tube wiring certification will always require a C-10 license.



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- 8      Repairs include cleaning and filter replacement.
- 9      Costs that exceed the maximums in other categories of cooling and heating repairs and replacements cannot be charged to the line item reserved for other types of cooling and heating units not already listed.
- 10     Propane furnace repairs and replacements shall be reimbursed under Other Types Not Listed.
- 11     Energy Conservation measures and Activity Definitions are included in the CSD weatherization installation standards, and EXHIBIT G, DEFINITIONS.
- 12     A wood-fueled space heater may only be installed if it is to be used to replace a fossil-fueled space heater and/or damaged or hazardous wood stove that cannot feasibly be repaired, i.e., cost of repair exceeds 30 percent (30%) of replacement cost or existing unit is not a listed and labeled stove.
- 13     Per dwelling, attic and floor foundation venting may only be performed in conjunction with ceiling and floor insulation, respectively.
- 14     When using a blower door in conjunction with weatherizing a dwelling, do not apply these measures if the infiltration is less than the Minimum Ventilation Requirement or if the economic stop point for air sealing has been reached. Does not apply to catastrophic leaks that are health and safety hazards, e.g., broken-out window, severely damaged door, etc.
- 15     Costs that exceed the maximums in Glass Replacement cannot be charged to Minor Envelope Repair or Window Replacement. The maximum reimbursement for Window Replacement is an average of all dwellings receiving new windows. If costs should occur such that the average maximum is exceeded for Window Replacements, the additional costs cannot be charged to Minor Envelope Repair or Glass Replacement.
- 16     When installing a Minor Envelope Repair Measure, the installation of deadbolt locks in conjunction with an exterior door replacement is allowable on rental units only. Reimbursement will be based on the material costs for the door, the deadbolt lock, and the labor.
- 17     Includes sliding glass doors. Does not include weatherstripping applied to attic and crawl space access hatches, to evaporative-cooler and air-conditioner covers, or to open combustion appliance enclosure doors. Expenditures for weatherstripping applied to covers and enclosure doors shall be charged under the appropriate appliance repair line item. When insulation is not installed, applies to access hatches and windows.

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- 18 Technicians performing evacuation and charging of refrigerant must have EPA-approved certification as a Type II or Universal technician. Refrigerant shall be recovered, and all hazardous waste materials shall be disposed of in conformance with federal, state, and local codes.
- 19 Electric Base Load Measures: Special training is a mandatory prerequisite for Contractors before performing Evaporative Cooler Installation and Window/Wall Air Conditioner Replacement. Contractor must contact CSD to schedule training.
- 20 Crawl space height shall be documented on the Weatherization Building Check and Job Order Sheet, CSD 540, or Contractor's equivalent.
- 21 Manual Thermostats may be installed only if the old thermostat is inoperable, and may be installed in lieu of Programmable Thermostats if it is determined that the client receiving such services will not be able to operate and maintain the Programmable Thermostat properly.
- 22 Contractors shall ensure the proper disposal of hazardous wastes products such as fluorescent light tubes, batteries and mercury thermostats in accordance with the Universal Waste Rule (Hazardous Waste Management System: Modification of the Hazardous Waste Recycling Regulatory Program); Final Rule.
- 23 CSD Policies and Procedures for electric base-load measures states that a replacement refrigerator may be replaced only if it was manufactured in 1992 or earlier. Documentation in the client file shall contain the manufacturer, make and model of all replaced refrigerators.
- 24 May be used by those Contractors that find that the per-square-foot rate under the other storm window categories is too high in comparison to the actual cost of materials within its service area.
- 25 Do not perform if dwelling has an operable evaporative cooler.
- 26 Shop fees are used to cover incidental supplies that are difficult to track. Shop fees are allowed once per weatherized dwelling and cannot be charged if the fees are charged to LIHEAP weatherization for the same dwelling.
- 27 One travel credit is allowed once per weatherized dwelling.
- 28 Only mileage exceeding a 60-mile round trip to the job site is reimbursable. Mileage is allowed once per weatherized dwelling and cannot be charged if the mileage is charged to LIHEAP weatherization for the same dwelling or multi-unit complex.

**EXHIBIT C**  
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**GENERAL TERMS AND CONDITIONS**

PLEASE NOTE: Exhibit C, General Terms and Conditions, is included in this Agreement by reference to Internet site: [www.csd.ca.gov](http://www.csd.ca.gov).

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**SPECIAL TERMS AND CONDITIONS**

1. **TRAVEL AND PER DIEM**

- A. Contractor's employee travel costs and per diem reimbursement rates shall be reimbursed based on the Contractor's policies and procedures not to exceed federal per diem requirements.
- B. In absence of a travel policy, Contractor shall defer to the rules and regulations established in the California Code of Regulations Sections 599.615 through 599.638 and be reimbursed in accordance with the definitions, terms, and provisions contained therein.

2. **CERTIFICATIONS**

- A. Contractors' signature affixed hereon shall constitute a certification that to the best of its ability and knowledge it will, unless exempted, comply with the provisions set forth in the following:
  - 1) Drug-Free Workplace Requirements, Contract Certification Clauses 10/05 (CCC-1005) (GC §8350 et seq.)
  - 2) National Labor Relations Board Certification (CCC-1005) (PCC §10296)
  - 3) Expatriate Corporations (CCC-1005) (PCC §10286 AND 10286.1)
  - 4) Domestic Partners (CCC-1005) (PCC §10295.3)
  - 5) Contractor Name Change (CCC-1005)
  - 6) Resolution (CCC-1005)
  - 7) Air or Water Pollution Violation (CCC-1005) (WC §13301)
  - 8) Information Integrity and Security (Department of Finance, Budget Letter 04-35). (State Administrative Manual 4840.4, 4841.2 and 4841.3)
- B. The above documents are hereby incorporated by reference into this Agreement. To access these documents, please visit [www.csd.ca.gov](http://www.csd.ca.gov)
- C. Internal Control Certification

Contractor shall ensure the establishment and maintenance of a system of internal accounting and administrative control. This responsibility includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for

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changes in conditions. The system of internal accounting and administrative control shall include:

- 1) Segregation of duties appropriate to safeguard state assets;
- 2) Limited access to agency assets to authorized personnel who require these assets in the performance of their assigned duties;
- 3) Authorization and recordkeeping procedures adequate to provide effective accounting controls over assets, liabilities, revenues, and expenditures;
- 4) Established practices to be followed in performance of duties and functions;
- 5) Personnel of a quality commensurate with their responsibilities; and
- 6) Effective internal reviews.

3. CONFLICT OF INTEREST

- A. Contractor certifies that its employees and the officers of its governing body shall avoid any actual or potential conflicts of interest and that no officer or employee who exercises any functions or responsibilities in connection with this Agreement shall have any personal financial interest or benefit that either directly or indirectly arises from this Agreement.
- B. Contractor shall establish safeguards to prohibit its employees or its officers from using their positions for a purpose that could result in private gain or that gives the appearance of being motivated for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
- C. Pursuant to 10 CFR § 600.142 and 236, Contractor shall not provide DOE WAP services or activities to beneficiaries where there is an actual or perceived conflict of interest, unless CSD has provided prior written approval of either: a) Contractor's conflict of interest policies and procedures, or b) any individual service or activity that presents an actual or perceived conflict including but not limited to:
  - 1) Providing program services to Contractor's employees, officers, or other persons or entities with whom Contractor's employee or officer has family, business, or other ties; and
  - 2) Providing program services to owner-occupied or rental dwellings that are owned or managed by the Contractor, employees, or officers.

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- D. To obtain prior written approval by CSD, Contractor must demonstrate that it will:
- 1) Follow all regular eligibility and prioritization requirements of the Federal programs, as applicable to each service or activity;
  - 2) Comply with all dwelling eligibility requirements of this Agreement, including but not limited to rent increase and multiple dwelling restrictions;
  - 3) Substantiate the need for weatherization services by completing a dwelling assessment for each individual dwelling unit served; and
  - 4) Consent to any further conditions if required by CSD. Failure to obtain prior written approval by CSD will result in costs being disallowed.

4. CODES OF CONDUCT

- A. Contractor shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts or subcontracts. No employee, officer, or agent of the Contractor shall participate in the selection, award, or administration of a subcontract supported by Federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the Contractor shall neither solicit nor accept gratuities, favors, or anything of monetary value from subcontractors or parties to subagreements. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the recipients.
- B. Contractor shall not pay Federal funds received from CSD to any entity in which it (or one of its employees, officers, or agent, any member of his or her immediate family, his or her partner, or an organization that employs or is about to employ any of the parties indicated herein) has an interest. As ownership constitutes a financial interest, Contractor shall not subcontract with a subsidiary. Similarly, Contractor shall not subcontract with an entity that employs or is about to employ any person described in 10 CFR 600.236 (for states and local governments) and 10 CFR Part 600.142 (for nonprofit organizations) (Office of Management and Budget Circular A-110, section 42).

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5. AUDITING STANDARDS AND REPORTS

A. Auditing Standards

Contractor must follow all audit requirements as set forth in OMB Circular A-133 and the 2008 CSD Supplemental Audit Guide. The 2008 Supplemental Audit Guide may be accessed at [www.csd.ca.gov](http://www.csd.ca.gov).

B. Audit Reports

- 1) Funds provided under this Agreement shall be included in an audit conducted in accordance with the provisions of OMB Circular A-133 for nonprofit and public agencies, standards promulgated by the American Institute of Certified Public Accountants (AICPA), and those standards included in "Government Auditing Standards, 2007 Revision, as amended.
- 2) The financial and compliance audit report shall contain the following supplementary financial information: a combined statement of revenue and expenditures for each contract that presents, by budget line item, revenue and expenditures for the audit period.
- 3) Contractors shall submit to CSD one copy of the required audit report(s) and any management letter if issued by the accountant, within nine months of the end of the Contractor's fiscal year, accompanied by a copy of the signed, final engagement letter between Contractor and the independent auditor. Upon written request by the Contractor's independent auditor, which includes an explanation of why the audit cannot be submitted within nine months of the end of the Contractor's fiscal year, an extension may be granted by CSD Audit Services Unit for submittal of the audit report not to exceed an additional 30 calendar days from the original due date. The audit reports are to be submitted to the following address:

Department of Community Services and Development  
Attention: Audit Services Unit  
P.O. Box 1947  
Sacramento, CA 95812-1947

Local governmental agencies also shall submit the required number of copies of the audit report in accordance with the guidelines set by the Division of Audits of the State Controller's Office. Said reports are to be submitted to the following address:

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State Controller's Office  
Division of Audits  
300 Capitol Mall, Fifth Floor  
Sacramento, CA 95814

- 4) Where services or funds under this Agreement are provided to, for, or by a wholly owned, or wholly controlled subsidiary of Contractor, Contractor hereby provides assurance that an audit shall be performed of this subsidiary organization in accordance with this Section. Said required audit report shall be made available to the State upon request.

6. SUBCONTRACTS (CSD)

Contractor may enter into subcontract(s) to perform part or all of the direct services covered under this Agreement. Prior to the commencement of subcontracted services under this Agreement, Contractor shall obtain board approval, to include but not be limited to an assurance that the subcontractor agreement(s) shall comply with all terms, conditions, assurances, and certifications of this Agreement for the nonprofit and local governmental agencies performing services in the area(s) described in EXHIBIT A, SCOPE OF WORK, Section 5.

- A. Contractor shall provide written notification to the State within 60 calendar days of execution of each subcontractor agreement the name of the subcontractor entity, its address, telephone number, contact person, contract amount, and program description of each subcontractor activity to be performed under this Agreement.
- B. Contractor remains responsible to substantiate the allowable and allocable use of all funds under this Agreement and to adopt fiscal control and accounting procedures sufficient to permit the tracing of funds paid to any subcontractor to a level of expenditure adequate to establish that such funds have not been used in violation of this Agreement. Contractor shall ensure that any subcontracts under this Agreement contain all provisions necessary to ensure adequate substantiation and controls of the expenditure of such funds. Contractor may achieve this through detailed invoices, by periodic monitoring of subcontractor's program activities and fiscal accountability, by retaining a right of reasonable access to the subcontractor's books and records, or by any other method sufficient to meet Contractor's responsibility to substantiate costs required by OMB Circulars A-87, 122, and 133.
- C. Contractor shall immediately notify subcontractor(s) in writing within five days of such action in the event the State suspends, terminates, and/or makes changes to the services to be performed under this Agreement.
- D. Contractor is the responsible party and shall remain liable for the performance of the terms, conditions, assurances, and certifications of this Agreement, without



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recourse to the State, regarding the settlement and satisfaction of all contractual and administrative issues arising out of subcontract agreement(s) entered into in support of this Agreement, including disputes, claims, or other matters of a contractual nature as well as civil liability arising out of negligence or intentional misconduct of the subcontract(s).

- E. Nothing contained in this Agreement or otherwise shall create any contractual relation between the State and any subcontractors, and no subcontract shall relieve the Contractor of its responsibilities and obligations hereunder. Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the State's obligation to make payments to the Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

7. INSURANCE AND FIDELITY BOND

A. General Requirements

- 1) By execution of this Agreement, Contractor agrees that the below-required insurance policies and bond shall be in effect at all times during the term of this Agreement.
- 2) Contractor shall provide the State with written notice at least 30 calendar days prior to cancellation or reduction of insurance coverage to an amount less than that required in this Agreement.
- 3) In the event said insurance coverage expires at any time or times during the term of this Agreement, Contractor agrees to provide, at least 30 calendar days prior to said expiration date, a new Certificate of Insurance (ACORD 25) evidencing insurance coverage as provided for herein for not less than the remainder of the term of this Agreement. The Certificate of Insurance (ACORD 25) shall identify and name the State as the Certificate Holder.
- 4) New Certificates of Insurance are subject to review for content and form by CSD.
- 5) In the event Contractor fails to keep in effect at all times the specified insurance and bond coverage as herein provided, the State may, in addition to any other remedies it may have, suspend this Agreement.

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- 6) With the exception of workers' compensation and fidelity bond, the State shall be named as additional insured on all certificates of insurance required under this Agreement.
- 7) The issuance of other CSD contracts, to include reimbursement payments, to the Contractor may be contingent upon required current insurance coverage being on file at CSD for this Agreement.

**B. Self-Insurance**

- 1) When Contractor is a self-insured governmental entity, the State, upon satisfactory proof, may waive the appropriate insurance requirements upon written certification. An appropriate county or city risk manager shall sign this certification that shall contain assurance of the adequacy of the governmental entity's ability to cover any potential losses under this Agreement.
- 2) Contractor shall specify in writing a list of which coverage(s) will be self-insured under this Agreement and shall list all applicable policy numbers, expiration dates, and coverage amounts.
- 3) In the case that the Contractor's self-insurance coverage does not contain any changes from the prior year, CSD will accept a certified letter signed by authorized personnel; stating that no changes have occurred from the last year. This letter is due at the time of contract execution or within 30 days of expiration of insurance.
- 4) Should Contractor utilize a subcontractor(s) to provide services under this Agreement, Contractor shall indemnify and hold the State harmless against any liability incurred by that subcontractor(s).

**C. Workers' Compensation Insurance**

- 1) Contractor shall have and maintain for the term of this Agreement workers' compensation insurance issued by an insurance carrier licensed to underwrite workers' compensation insurance in the State of California.
- 2) Contractor shall submit either an applicable Certificate of Insurance (ACORD 25) or a Certificate of Consent to Self-Insure issued by the Director of the Department of Industrial Relations to the State as evidence of compliance with the workers' compensation insurance requirement prior to issuance of an initial cash advance.

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**D. Fidelity Bond**

- 1) Contractor shall maintain a fidelity bond in the minimum amount of four percent of the total amount of consideration set forth under this Agreement.
- 2) Contractor shall submit an applicable Certificate of Insurance (ACORD 25) to the State as evidence of compliance with the fidelity bond requirement prior to issuance of an initial cash advance.

**E. General Liability Insurance**

- 1) Contractor shall have and maintain for the term of this Agreement general liability, property and pollution insurance for a combined single limit of not less than \$500,000 per occurrence.
- 2) Contractor shall submit an applicable Certificate of Insurance (ACORD 25), naming CSD as an additional insured, to the State as evidence of compliance with general liability, property and pollution insurance requirements prior to issuance of an initial cash advance.

**F. Vehicle Insurance**

- 1) Contractor shall have and maintain for the term of this Agreement vehicle insurance in the amount of \$500,000 for each person and each accident for bodily injury and in the amount of \$500,000 for each person and each accident for property damage.
- 2) When employees use their own vehicles to perform duties within the scope of their employment, Contractor shall have and maintain for the term of this Agreement nonowned and hired-auto liability insurance in the amount of \$500,000 for each person and each accident for bodily injury and \$500,000 for each person and each accident for property damage. (Driving to and from work is not within the scope of employment.)
- 3) Contractor shall submit an applicable Certificate of Insurance (ACORD 25), designating CSD as an additional insured, to the State as evidence of compliance with said vehicle insurance requirements prior to issuance of an initial cash advance.

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8. COMPLIANCE MONITORING

- A. As the recipient of federal DOE WAP grant funds under this Agreement, Contractor is responsible for substantiating that all costs claimed under this Agreement are allowable and allocable under all applicable federal and state laws, and for tracing all costs to the level of expenditure.
- B. As the administrator of the DOE WAP grant for the State, CSD is required to ensure the funds allocated to Contractor are expended for the purposes identified in federal and state DOE WAP law, and for allowable and allocable costs under the applicable rules of the Office of Management and Budget.
- C. CSD is required to conduct onsite and follow-up monitoring of Contractor to ensure that Contractor meets the performance goals, administrative standards, financial management requirements, and other requirements of the federal and State DOE WAP.
- D. CSD shall provide Contractor reasonable advance notice in writing of on-site monitoring reviews of Contractor's program or fiscal performance.
- E. Contractor shall cooperate with CSD program and audit staff and other representatives and provide access to all programs, records, documents, resources, personnel, inventory, and other things reasonably related to the administration and implementation of the services and activities funded directly or indirectly by this Agreement.
- F. In the event that CSD determines that Contractor is in noncompliance of material or other legal requirements of this Agreement, CSD shall provide the observations, recommendations, or findings in writing, along with a specific action plan for correcting the noncompliance.

9. NONCOMPLIANCE WITH REQUIREMENTS OF THE AGREEMENT

A. Consequences for Entities Not Meeting Terms of the Agreement

Contractor shall ensure that all requirements set forth in this Agreement are met, that all required documentation is submitted in a timely manner, and that any specific corrective action plans are fulfilled. In the event that prescribed timelines are not met or corrective action is not taken, it shall be deemed a material breach of this Agreement, and CSD shall take appropriate action, including but not limited to withholding of advance payments and initiation of the suspension and termination procedures provide by State and federal DOE WAP law and the provisions of this Agreement

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**B. Suspension**

- 1) The State may, upon reasonable notice to Contractor or Subcontractor, suspend this Agreement in whole or in part. In the case of Contractor's fraud or gross negligence, suspension without prior notice by the State is permissible.
- 2) If Contractor has failed to comply with the material terms of this Agreement, the State shall:
  - a. Notify the Contractor in writing by certified mail or personal service;
  - b. Specify the effective date of the suspension;
  - c. Specify the reasons for the suspension and what corrective action is expected;
  - d. Give a specified period of time in which to take corrective action; and
  - e. Inform the Contractor that if the corrective action is not taken within the specified time frame, the State will terminate the contract.
- 3) A suspension shall remain in effect until Contractor has taken corrective action satisfactory to the State.
- 4) New obligations, including costs for goods, services, or related expenses, incurred by Contractor under this Agreement during the suspension period will not be allowed unless expressly authorized by the state in the notice of suspension.

**C. Special Conditions**

- 1) CSD will implement Imposed Special Conditions on a progressive basis, which may include:
  - a. Additional training and technical assistance;
  - b. Additional reporting requirements; and
  - c. Formal high-risk designation and possible suspension and termination.

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- 2) Based on the severity and frequency of the identified circumstances, CSD may impose any one or more Special Conditions. Should Special Conditions be warranted, CSD shall send the Contractor a written Notice of Special Conditions, which shall contain the following information:
  - a. The nature of the Special Condition(s) and/or Sanction(s) being imposed;
  - b. The reason(s) for imposing Special Condition(s) and/or Sanction(s); and
  - c. The corrective actions that must be taken and the time allowed for completing them before CSD removes the Special Condition(s) and/or Sanction(s).

**D. Termination**

- 1) Either party may terminate this Agreement at any time prior to its date of expiration upon 30 calendar day's notice to the other party. Such notice shall be delivered to the other party in writing, stating the reason for termination and the effective date thereof.
- 2) Upon termination of this Agreement, the State, unless expressly granted in writing, shall not pay Contractor for any obligations incurred after the effective date of such termination. Contractor shall be paid for work performed prior to termination, as long as the work was performed according to the covenants contained herein at the time and in the manner provided herein.

**E. Lien Rights**

The State retains lien rights on all funds advanced.

**10. APPEAL PROCESS WHEN SPECIAL CONDITIONS ARE IMPOSED**

When Special Conditions are imposed, Contractor may rebut and/or appeal the action pursuant to Title 22, California Code of Regulations, § 100875.

**11. AGREEMENT CHANGES**

**A. Amendment**

- 1) A formal Amendment is required for changes to the term, total cost, or Maximum Amount of this Agreement, scope of work, and formal name changes. No amendment to this Agreement shall be valid unless made in writing, signed by the parties and approved as required. No oral

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understanding or Agreement not incorporated in the Agreement is binding on any of the parties.

- 2) Contractor shall advise the State when proposed changes to the contract also affect the Program Budget.

**B. Minor Modifications**

- 1) Minor Modifications shall not affect the Maximum Amount payable under this Agreement.
- 2) Minor Modifications shall not affect the maximum limits set for specific line items under this Agreement, i.e., administrative costs, health and safety.

**C. Process**

- 1) If Contractor intends to request a contract amendment and/or modification, Contractor shall submit a Request for Amendment/Modification Energy, CSD 509, an updated budget if applicable, and a justification supporting the funds transfer request. Contractor shall assure that the request is submitted to CSD no later than 45 calendar days prior to the expiration date of this Agreement. Contractor may submit the signed request for amendment/modification to CSD via fax and/or mail.
- 2) Exceptions to this requirement include the following:

Modifications to the projected budget(s) that do not affect the maximum amount payable under this contract or the work to be performed within the specific DOE WAP program component and the exceptions provided for in EXHIBIT E, ADDITIONAL PROVISIONS, Section 2, PROVISION FOR FEDERALLY FUNDED GRANTS.

**12. Special Provisions – Performance-Based Requirements**

- A. Adequate fiscal performance will be the achievement of one hundred percent (100%) of stated expenditures by June 30, 2009. Achievement of the following expenditure percentages shall occur as follows.

50% by March 1, 2009

100% by June 30, 2009

- B. CSD shall review Contractor's achievement of goals each month.
- C. At the conclusion of each monthly period of the contract term, CSD shall review Contractor's achievement of goals, and if they are not being achieved, CSD shall

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notify Contractor that contract goals are not being met and Contractor shall be required to provide an immediate resolution.

- D. If the Contractor has previously been contacted regarding noncompliance and is found to have another monthly period of noncompliance, the Contractor shall be notified in writing that contract goals are not being met and that the Contractor has established a pattern of non-achievement of goals. The Contractor shall have to meet all goals inclusive to the next one-month period.
- E. If, at the conclusion of the December reporting period the Contractor has not achieved 50% of the contract goals or has failed to meet contract goals after written notification disclosing noncompliance, the State shall enter negotiations with the Contractor to access a realistic capacity to expend the remaining funds and a determination may be made as to the viable amount of funds that will remain in the contract. If a determination results in unexpended funds becoming available, the State will redistribute such funds to an eligible performing Contractor within the general geographic region of the Contractor-of-record. In the event a performing Contractor does not exist in the general geographic region, then the State shall reserve the right to redistribute funds to a performing Contractor within the state. If negotiations result in a modified expiration of the contract, EXHIBIT B, BUDGET DETAIL AND PAYMENT PROVISIONS, SECTION 1. BUDGET, ITEM A. shall prevail.



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**ADDITIONAL PROVISIONS**

1. **PROVISIONS FOR FEDERALLY FUNDED GRANTS**

A. Contractor certifies that it possesses legal authority to apply to the State for DOE WAP funds and assures compliance with the purposes as set forth in 42 USC 8621 et seq., as amended.

B. Eligibility to Receive Federally Funded Public Benefits

Pursuant to the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) and Executive Order W-135-96, dated August 27, 1996, while in effect, applicants for federally funded public benefits are required to provide proof of U.S. citizenship, U.S. non-citizen national, or qualified alien status. Contractor shall verify client eligibility in accordance with CSD Applicant Verification of Eligibility Procedures and Regulations, forms, and other written guidance provided by CSD.

C. IIRIRA Section 508. NO VERIFICATION REQUIREMENT FOR NONPROFIT CHARITABLE ORGANIZATIONS. Section 432 (d) of the personal responsibility and Work Opportunity Reconciliation Act of 1996 (8 U.S.C. 1642) as amended exempts non profit Charitable Organizations under this title to determine, verify, or otherwise require proof of U.S. citizenship, U.S. non-citizen national, or qualified alien status of any applicant for such benefits in providing any Federal public benefit (as defined in section 401 (c) ) or any State or local public benefit (as defined in section 411(c) ).

2. **FEDERAL CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND RELATED MATTERS**

Contractor hereby certifies to the best of its knowledge that it or any of its officers:

A. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;

B. Have not within a three (3) year period preceding this Agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

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- C. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph 2 of this certification; and
- D. Have not within a three (3) year period preceding this Agreement had one or more public (federal, state, or local) transactions terminated for cause or default.
- E. If any of the above conditions are true for the Contractor or any of its officers, Contractor shall describe such condition and include it as an attachment to this Exhibit E. Based on the description, CSD in its discretion may decline to execute this Agreement or set further conditions of this Agreement. In the event any of the above conditions are true and not disclosed by Contractor, it shall be deemed a material breach of this Agreement, and CSD may terminate this Agreement for cause immediately pursuant to the termination provisions of State and federal law governing the DOE WAP.

3. PROCUREMENT

A. Contract Administration

- 1) Contractors shall administer this Agreement in accordance with all federal and state rules and regulations governing DOE WAP grants pertaining to procurement, including Office of Management and Budget (OMB) Circulars and amendments thereto, consistent with the general OMB compliance requirement in EXHIBIT B to this Agreement. Contractors shall establish, maintain, and follow written procurement procedures consistent with the procurement standards in OMB Circulars A-102 and A-110 and all additional provisions in this Agreement, including but not limited to a code of conduct for the award and administration of contracts and a procedure that provides, to the maximum extent practical, open and free competition.
- 2) Contractor shall not permit any organizational conflicts of interest or noncompetitive practices that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective subcontractor performance and eliminate unfair competitive advantage, individuals or firms that develop or draft specifications, requirements, statements of work, invitations for bids and/or requests for proposals shall be excluded from competing for such procurements. Contractor shall award any subcontract to the bidder or offeror whose bid or offer is responsive to the solicitation and is most advantageous to Contractor when considering price, quality, and other factors. Contractor's solicitations shall clearly set forth all requirements that the bidder or offeror shall fulfill in order for the bid or offer to be evaluated by the recipient.

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- 3) Contractor assures that all supplies, materials, equipment, or services purchased or leased with funds provided by this Agreement shall be used solely for the activities allowed under this Agreement, unless a fair market value for such use is charged to the benefiting program and credited to this Agreement.
- 4) In addition to adhering to all OMB requirements and the Contractor's established procedures for all procurement transactions of any amount, for each purchase, lease, or subcontract for any articles, supplies, equipment, or services obtained from vendors or subcontractors where the per-unit cost exceeds \$5,000, three competitive quotations shall be obtained or adequate justification documented and maintained as to the absence of bidding. In cases of a bona fide emergency where awarding a subcontract is necessary for the immediate preservation of public health, welfare, or safety, documentation of the emergency will be sufficient in lieu of the three-bid process.
- 5) To ensure that significant procurement transactions are conducted in an open and freely competitive manner, Contractor shall comply with one of the following requirements at Contractor's election:
  - a. Contractor shall submit for CSD's review and approval the written procurement procedures developed pursuant to Section 3. A. 1) above. Upon receipt of the procedures, CSD will review them for substantial conformity with the OMB procurement guidelines and the three-bid requirement in Section 3. A. 4) above. Within thirty (30) days of receipt, CSD will provide either written approval of the procedures or specific recommendations for amendment of the procedures. Approval shall not be withheld unreasonably; or
  - b. Absent CSD's written approval of the procurement procedures, Contractor shall prepare and submit a Request for Purchase/Lease Pre-Approval (CSD 558) to CSD at least fifteen (15) calendar days prior to executing the subcontract for each of the following procurement transactions:
    - i. Any articles, supplies, equipment, or services having a per-unit cost in excess of \$5,000; or
    - ii. Any articles, supplies, or equipment where the total contract amount exceeds \$100,000.
- 6) Noncompliance with any of the provisions in this Section 3 shall result in a disallowance of the costs of the procurement transaction.

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- 7) Contractor assures that it shall exercise due care in the use, maintenance, protection, and preservation of State-owned property in Contractor's possession or any other property or equipment procured by Contractor with State funds. Such care shall include, but is not limited to, the following:
  - a. Maintaining insurance coverage against loss or damage to such property or equipment.
  - b. Ensuring that the legal ownership of any motor vehicle or trailer is in the name of the Contractor.

**B. Limitation on Use of Funds**

Contractor shall assure that funds received under this Agreement shall not be used for the purchase or improvement of land or for the purchase, construction, or permanent improvement of any building or other facility other than low-income weatherization or energy-related home repairs.

**4. AFFIRMATIVE ACTION COMPLIANCE**

- A. Each Contractor or subcontractor with 50 or more employees and an agreement of \$50,000 or more shall be required to develop a written Affirmative Action Compliance Program.
- B. The written program shall follow the guidelines set forth in Title 41 CFR Section 60-1.40, Sections 60-2.10 through 60-2.32, Sections 60-250.1 through 60-250.33, and Sections 60-741.4 through 60-741.32.
- C. Each Contractor or subcontractor with less than 50 employees shall comply with Section 202 of Part II of Executive Order 11246, as amended by Executive Order 11375. Contractor shall ensure that subcontractors falling within the scope of this provision shall comply in full with the requirements thereof.

**5. NONDISCRIMINATION COMPLIANCE**

- A. Contractor's signature affixed hereon shall constitute a certification that to the best of its ability and knowledge will, unless exempted, comply with the nondiscrimination program requirements set forth in this section.
- B. Contractor hereby certifies compliance with the following:
  - 1) Federal Executive Order 11246, as amended by Executive Order 11375, relating to equal employment opportunity.

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- 2) Title VI and Title VII of the Civil Rights Act of 1964, as amended.
- 3) Rehabilitation Act of 1973, as amended.
- 4) Vietnam Era Veterans Readjustment Assistance Act of 1972, as amended.
- 5) Title 41, Code of Federal Regulations (CFR), Chapter 60, Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor, as amended.
- 6) Public Law 101-336, Americans with Disabilities Act of 1990.

6. PRIORITIZATION OF SERVICES

- A. Contractor assures that Weatherization activities are conducted in accordance with the priority plan, EXHIBIT B - ATTACHMENT II WEATHERIZATION PRIORITY PLAN NARRATIVE.
- B. Activities shall be designed to provide assistance to low-income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, and that such methods to be utilized shall assure that priority is given to identifying and providing weatherization assistance to: 1) Elderly persons; (2) Persons with disabilities; (3) Families with children; (4) High residential energy users; and (5) Households with a high energy burden.

7. SPECIFIC ASSURANCES

- A. Pro-Children Act of 1994
  - 1) This Agreement incorporates by reference all provisions set forth in Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act).
  - 2) Contractor further agrees that the above language will be included in any subcontracts that contain provisions for children's services and that all subcontractors shall certify compliance accordingly. For detailed explanation, see [www.csd.ca.gov](http://www.csd.ca.gov).
- B. American-Made Equipment/Products

Contractor shall assure, pursuant to Public Law 103-333, Section 507, to the extent practicable, that all equipment and products purchased with funds made available under this Agreement shall be American made.

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C. Federal and State Occupational Safety and Health Statutes

Contractor assures that it shall be in compliance with the provisions as set forth in Federal and State Occupational Safety and Health Statutes; the California Safe Drinking Water and Toxic Enforcement Act of 1986; Universal Waste Rule (Hazardous Waste Management System: Modification of the Hazardous Waste Recycling Regulatory Program); Final Rule; and Workers' Compensation laws.

D. Political Activities

- 1) Contractor shall refrain from all political activities if such activities involve the use of any funds that are the subject of this Agreement.
- 2) Contractor is prohibited from any activity that is designed to provide voters or prospective voters with transportation to the polls or to provide similar assistance in connection with an election if such activities involve the use of any funds that are subject to this Agreement.

E. Lobbying Activities

- 1) Contractor shall refrain from all lobbying activities if such activities involve the use of any funds that are the subject of this Agreement or any other fund, programs, projects, or activities that flow from this Agreement.
- 2) If Contractor engages in lobbying activities, Contractor shall complete, sign and date the CERTIFICATION REGARDING LOBBYING/DISCLOSURE OF LOBBYING ACTIVITIES, EXHIBIT H, as required by the U.S. Department of Health and Human Services under 45 CFR Part 93.

8. RIGHT TO MONITOR, AUDIT, AND INVESTIGATE

- A. Any duly authorized representative of the federal or state government, which includes but is not limited to the State Auditor, CSD Staff, and any entity selected by CSD to perform inspections, shall have the right to monitor and audit Contractor and all subcontractors providing services under this Agreement through on-site inspections, audits, and other applicable means the State determines necessary.
- B. Contractor shall make available all reasonable information necessary to substantiate that expenditures under this agreement are allowable and allocable, including, but not limited to books, documents, papers, and records. Contractor shall agree to make such information available to the federal government, the state, or any of their duly authorized representatives including representatives of the entity selected by CSD to perform inspections, for examination, copying, or

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mechanical reproduction, on or off the premises of the appropriate entity upon a reasonable request therefor.

- C. Any duly authorized representative of the federal or state government shall have the right to undertake investigations in accordance with Public Law 97-35, as amended.
- D. All agreements entered into by Contractor with audit firms for purposes of conducting independent audits under this Agreement shall contain a clause permitting any duly authorized representative of the federal or state government access to the working papers of said audit firm(s).

9. FAIR HEARING PROCESS FOR ALLEGED VIOLATION OF THE CIVIL RIGHTS ACT AGAINST CONTRACTOR

- A. In the event of any violation or alleged violation of Title VI of the Civil Rights Act of 1964, as amended, Contractor has the right to request a fair hearing in response to such violation or alleged violation within 30 calendar days from the date of such action.
- B. The State shall conduct such fair hearing in accordance with Title 45, Code of Federal Regulations (CFR), Section 81.1 et seq.

10. FAIR HEARING PROCESS FOR APPLICANTS FOR DENIAL OF BENEFITS BY CONTRACTOR

- A. Contractor shall provide all interested individuals equal opportunity to apply for DOE WAP programs, and shall not discourage any interested individual from submitting an application for DOE WAP assistance. Contractor shall act upon all applications in writing within fifteen (15) working days.
- B. Pursuant to Title 22 of the California Code of Regulations, Section 100805, Contractor shall establish a written appeals process to enable applicants who are denied benefits or services, or who receive untimely response or unsatisfactory performance, the right to appeal the decision or performance to the Contractor. Contractor's process shall include, at a minimum, all of the requirements of Section 100805 subdivision (b), plus:
  - 1) Provisions that ensure that each applicant is notified in writing of the right to appeal a denial of or untimely response to an application, or to appeal unsatisfactory performance, and the process to request such an appeal, at the time that each applicant submits an application. Such notification shall include information about the right to appeal to both the Contractor and to CSD.

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- 2) Provisions that ensure that Contractor will make a good faith effort to resolve each appeal.
- 3) Provisions that ensure that Contractor notifies the applicant in writing of the Contractor's final decision within fifteen (15) working days after the appeal is requested. If the appeal is denied, the written notification shall include instructions on how to appeal the decision to CSD. Whenever Contractor notifies an applicant of a denial of an appeal, Contractor shall simultaneously provide a copy of the final decision to the Manager of CSD's Energy Services Division.
- 4) Provisions to enable Contractor to collate information on denials and appeals in its regular program reporting.

11. RECORD-KEEPING

- A. All records maintained by Contractor shall meet the OMB requirements contained in the following Circulars: A-102, Subpart C, ("Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments") or A-110, Subpart C, Nonprofit Organizations, whichever is applicable.
- B. Contractor shall maintain all records pertaining to this Agreement for a minimum period of three years after submission of the final report. However, Contractor shall maintain all such records until resolution of all audit and monitoring findings are completed.
- C. Contractor assures that employee and applicant records shall be maintained in a confidential manner to assure compliance with the Information Practices Act of 1977, as amended, and the Federal Privacy Act of 1974, as amended.

12. BOARD ROSTER, BYLAWS, RESOLUTION, AND MINUTES

- A. Upon execution of this Agreement, Contractor shall submit to CSD a current roster of members of its governing board's Executive Committee, including contact information for each Committee member at a location other than the Contractor's office, and the most recent version of the organizational bylaws. If Contractor is a nonprofit or public entity that qualifies as an eligible entity under the federal CSBG Act, then Contractor shall instead submit a roster, including contact information, of Executive Committee of the tripartite board. Contractor is responsible to notify CSD of any changes to the Committee roster within thirty (30) days of such occurrence.
- B. Contractor's governing board must authorize the execution of this Agreement. Contractor has the option of demonstrating such authority by direct signature by a



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Board member, or by any lawful delegation of such authority that is consistent with Contractor's bylaws.

- C. Where Contractor elects to delegate the signing authority to the chief executive officer, CSD will accept either a resolution specific to this Agreement or a resolution passed by the governing board that is more generally applicable to any CSD program contract or amendment. Where Contractor provides a general resolution, Contractor shall maintain documentation that the chief executive officer provided timely and effective communication of the execution and terms of this Agreement to the Board. Either a specific or current general resolution must be on file with CSD prior to CSD's finally executing this Agreement.
- D. Contractor shall submit to CSD the minutes from regularly scheduled meetings of the governing board and/or tripartite board no later than 30 days after the minutes are approved. Regularly scheduled meetings shall be in accordance with the board's bylaws.
- E. If the Contractor's board is both tripartite and advisory to the elected members governing a local government, the Contractor shall submit to CSD the approved minutes from any meeting of the elected officials where matters relating to this Agreement are heard, including but not limited to discussions about or decisions affecting the DOE WAP. Such minutes shall be submitted to CSD no later than 30 days after the related meeting.

13. CONTRACTOR LICENSING

Contractors that are nonprofit organizations and are performing weatherization activities under this Agreement certify that they possess and will continue to have an active Class "B" General Building Contractor license, issued in the agency's name/qualifying individual by the Contractors' State License Board (CSLB). Contractor shall notify CSD when any changes in licensing occur. Contractor shall possess all applicable licenses as required by the CSLB to carry out the installation and/or repairs of Central HVAC Systems, Furnaces, and Boilers.

14. SPECIAL LICENSING - WEATHERIZATION

Special licensing may also be required for the installation and/or repair of Evaporative Cooler, Oven and Range, Vented Space Heater, Air Conditioning, and Gas and Electric Water Heaters, if two or more weatherization measures are not installed in a single unit. Electrical wiring upgrade/replacement and knob and tube wiring certification will always require a C-10 license.

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**PROGRAMMATIC PROVISIONS**

1. **SERVICE PRIORITY GUIDELINES**

- A. Contractor shall give first priority for weatherization services to those households that have the highest energy burden and high residential energy users and shall factor into its first priority for services those households with the following vulnerable populations: families with children under the age of 19, persons with disabilities, and elderly persons (ages 60 years or older).
- B. Contractor may give first priority for services to those households whose members have life-threatening emergencies.
- C. Additional priorities shall be as set forth in EXHIBIT B, BUDGET DETAIL AND PAYMENT PROVISIONS, ATTACHMENT II, DOE WEATHERIZATION PRIORITY PLAN NARRATIVE (CSD 793).
- D. Due to limited funding, Contractors shall ensure compliance with the DOE Reweathering Policy when providing services to dwellings previously weatherized from September 30, 1993 and earlier. Contractors serving previously weatherized dwellings shall include the selection process for serving previously weatherized dwellings in EXHIBIT B, BUDGET DETAIL AND PAYMENT PROVISIONS, ATTACHMENT II, DOE WEATHERIZATION PRIORITY PLAN NARRATIVE (CSD 793).
- E. Equitable Treatment  
  
Contractor shall assure that owners and renters receive equitable treatment under this program.

2. **OUTREACH AND INTAKE ACTIVITY GUIDELINES**

- A. Outreach  
  
Contractor shall perform appropriate outreach activities to ensure that households in the service area are informed about all DOE WAP program services and have an opportunity to apply for such services.
- B. Intake  
  
Contractor shall use intake program funds for determining eligibility of applicants seeking DOE WAP services. Services include the process of completing an intake form and reviewing applicant documentation. Contractor shall:

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- 1) Establish reasonable hours whereby customers/applicants will have access during regular business hours to seek program information with an assurance that the Contractor shall respond to the customer/applicant's request within a reasonable amount of time.
- 2) Accept applications for assistance during regular business hours.
- 3) Accept applications at sites that are geographically accessible to all households in the area served by Contractor.
- 4) Provide low-income individuals who are physically infirm the means to submit applications without leaving their residences.
- 5) Provide intake only at sites accessible to the disabled.
- 6) Contractor shall utilize the Energy Intake Form as a multipurpose form for referrals to the DOE WAP program, the ECIP program, ECIP EHCS program, SWEATS program, HEAP program, and LIHEAP Weatherization program.

3. CLIENT EDUCATION/COUNSELING ACTIVITIES

Client Education/Counseling Activities program funds shall be used for such services, including needs assessment, client education and budget counseling, that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance.

A. Needs Assessment

Contractor shall conduct a needs assessment for each client that shall include computing the energy burden of each applicant's household and prioritizing households as described in EXHIBIT F, PROGRAMMATIC PROVISIONS, Section 4, WEATHERIZATION ACTIVITY GUIDELINES.

B. Client Education / Budget Counseling

Contractor shall provide to all recipients of energy assistance under this Agreement applicable energy conservation information and budget counseling in accordance with the Contractor's approved DOE WEATHERIZATION PRIORITY PLAN NARRATIVE (CSD 793), EXHIBIT B, ATTACHMENT II; Contractors shall include at least the following:

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- 1) Information to the client regarding the importance of applying for energy assistance prior to being in an arrearage situation and to include information concerning various utility company budget payment plan(s) and other forms of energy assistance offered within the State.
- 2) Written information that describes energy-saving behavioral adjustments that will decrease the energy consumption of the household.
- 3) Resource information, referral, family, and budget counseling in order to assist clients in achieving self-sufficiency.
- 4) Contractor shall place in the client's file the Client Education Confirmation of Receipt (CSD 321) or Contractor's equivalent, which substantiates that the client was provided with energy conservation, budget counseling, and mold and lead-based paint education.
- 5) Occupants of pre-1979 units to be weatherized must receive the EPA pamphlet "Protect Your Family from Lead in Your Home."
- 6) Contractor shall provide to all clients the EPA pamphlet "A Brief Guide to Mold, Moisture, and Your Home".
- 7) Contractor shall provide to the client a description of the benefits that the client can expect to receive as a result of the weatherization measures installed and diagnostic tests performed in the dwelling.
- 8) Contractor shall provide to the client an explanation of the action of each measure in terms of preventing air infiltration or the escape of heated or cooled air from the dwelling and how to maximize the effect of such measures.

**C. Coordination**

Contractor shall refer all potentially eligible applicants including HEAP applicants, to the LIHEAP Weatherization Program, ECIP EHCS, CARE/RRP, DOE WAP, or other energy or conservation programs. Contractor shall coordinate its activities with other federal, state, or local energy conservation programs with the goal of conserving energy, improving thermal efficiency, or defraying energy costs of low-income households.

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4. WEATHERIZATION ACTIVITY GUIDELINES

A. Applicant Eligibility

- 1) Assistance shall be available only to households with incomes that do not exceed an amount equal to sixty percent (60%) of the State median income.
- 2) Income verification must be for one month and current within six (6) weeks of the application intake date or an annual award letter. For acceptable types of documentation, refer to the 2008 LIHEAP Eligibility and Verification Guide at [www.csd.ca.gov/programs](http://www.csd.ca.gov/programs).
- 3) Contractor shall certify a household's income eligibility prior to the delivery of all energy program services.
- 4) Contractor shall collect and maintain copies of all of the household's energy utility bills for the current month, and if applicable, receipt(s) for wood, propane, and oil to determine the client's energy burden.

B. Dwelling Eligibility

- 1) The certification shall remain in effect for a period of 120 days from the date the household is determined income eligible.
- 2) At a minimum, within the 120-day period of the household's eligibility certification, Contractor shall perform the assessment of the dwelling and determine the weatherization measures to be installed.
- 3) If the assessment of the dwelling and the determination of the weatherization measures to be installed do not begin within the 120-day period of the household's certification, Contractor shall recertify the household's eligibility and shall not charge for costs associated with recertification such as outreach, intake, and client education activities.
- 4) Permission to Provide Services
  - a. Contractor shall obtain written permission of the owner-occupied dwelling, and/or of the owner of a rental unit, or his/her agent prior to performing any weatherization services. Such permission shall be recorded on the Energy Service Agreement for Rental Units (CSD 515) or Contractor's equivalent. At a minimum, the written documentation and/or notification shall include the following:

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- i. General permission to do assessment and weatherization work;
  - ii. Notification of specific work to be done before the work is done;
  - iii. Notification of significant structural and engineering changes; and
  - iv. Confirmation of work completed.
- b. If during the course of performing weatherization and/or heating and cooling appliance repair or replacement services in a dwelling, Contractor identifies that significant structural and/or engineering changes may occur, Contractor shall re-obtain written permission of the owner-occupied dwelling and/or from the owner of a rental unit prior to continuing with the scheduled work.

5) Rent Increase Restrictions

- a. For a period of two years after weatherization work has been completed on a dwelling containing a unit occupied by an eligible household, the tenants in that unit (including households paying for their energy through their rent) will not be subjected to rent increases unless those increases are demonstrably related to matters other than the weatherization work performed.
- b. Tenants shall be given a written summary of these conditions with the current telephone number of the Contractor with instructions on how to file a complaint should these conditions not be met. Contractor shall investigate all complaints filed and shall forward a copy of all written complaints to CSD or, if a verbal complaint has been made, contact CSD with the details of the complaint including date complaint was made, date investigations began, and results.
- c. Should a complaint be found valid, Contractor shall obtain the amount equal to the weatherization work performed on that unit from the landlord and, if previously reimbursed from CSD, remit that amount to CSD along with details of the investigation.

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- 6) Multiple Unit Dwellings
- a. Contractor may weatherize a building containing rental dwelling units when not less than 66 percent (50 percent for duplexes and four-unit buildings) of the dwelling units in the building:
    - i. Are eligible dwelling units, or
    - ii. The dwelling units will become eligible (occupied by eligible low-income tenants) within 180 days under a federal, state, or local government program for rehabilitating the building or making similar improvement to the building.
  - b. If dwelling units are qualified for services through a federal, state, or local government rehabilitation program, documentation to verify participation in the rehabilitation program is required.
  - c. The amount of funds, however, applied to weatherization services in a building shall not exceed the number of eligible dwelling units multiplied by the \$2,966 maximum average per unit.
  - d. Contractor shall complete a Multi-Family Dwelling Unit Eligibility Certification (CSD 75P) or Contractor's equivalent for each complex and shall maintain a copy in each individual client file.
  - e. Contractor shall certify unit eligibility by completing Energy Intake Form (CSD 43 or 44) or Contractor's equivalent for each dwelling unit in each building. Certification of eligibility by the owner/manager of the occupants of the building/complex is not acceptable.
  - f. The owner has signed a copy of the Service Agreement for Unoccupied Multi-Unit Dwelling (CSD 515d) or Contractor's equivalent, authorizing the weatherization work, accepting conditions protecting the interests of tenants, and other provisions required by CSD;
  - g. No undue or excessive enhancement shall occur to the value of the dwelling units.

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- h. The repair and replacement of heating appliances, cooking appliances, and water heaters shall be performed in unoccupied multi-unit dwellings under DOE WAP only if a dangerous indoor air quality condition is found to exist, e.g., carbon monoxide hazard or gas leak and/or fire hazard.
- i. If the dwelling is later occupied with an eligible applicant, Contractor may provide the appliance services and shall report the dwelling as previously weatherized. Upon the completion of service, report the dwelling as previously weatherized.

7) Previously Weatherized Dwellings

- a. Weatherization services for a dwelling unit previously weatherized using DOE funds are not allowable EXCEPT if:
  - i) A dwelling unit has been damaged by fire, flood, or act of nature and repair of the damage to weatherization materials is not paid for by insurance;
  - ii) A dwelling unit weatherized using DOE WAP or other Federal program funds prior to September 30, 1993 needs further weatherization assistance; or
  - iii) A dwelling unit weatherized using DOE WAP or other Federal program funds after September 30, 1993 did not receive a full complement of services and previously unapplied allowable measures are to be installed.
- b. Each dwelling must receive a new energy audit which takes into account any previous energy conservation improvements to the dwelling. Only those energy conservation measures at or above a savings-to-investment ratio (SIR) of 1 are allowable.
- c. Measures installed outside those weatherization measures disclosed during the dwelling's initial weatherization assessment constitute a reweatherized dwelling.
- d. Once a dwelling has been submitted to CSD for reimbursement as a completed unit, any subsequent weatherization services provided to the dwelling shall be considered reweatherization.
- e. If the previous weatherization was performed under CSD or other federal or a nonfederal program, the dwelling and occupant eligibility must be recertified.



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8) Ineligible Dwellings

- a. Contractor shall not weatherize a dwelling unit that is designated for acquisition or clearance by a federal, state, or local program within 12 months from the date weatherization of the dwelling unit would be scheduled to be completed.
- b. Contractor shall not weatherize any dwelling under this Agreement unless the property owner agrees to all the terms and conditions of the Weatherization Building Assessment and Job Order Sheet (CSD 540) and the Energy Services Agreement for Rental Units (CSD 515) or Contractor's equivalent as applicable.
- c. Contractor shall not weatherize a dwelling having master-metered units unless direct savings to individual tenants can be documented. Contractor shall place such documentation in the client's file.
- d. No institutional or commercial building including, but not limited to, universities, schools, nursing homes, hospital, hotel, motel, etc. may be weatherized under this Agreement.

9) Temporary Shelters/Homeless Individuals

Eligibility of the occupants may be assumed if the owner/operator will certify in writing that occupancy is limited to no more than 90 calendar days and that admittance criterion complies with CSD contract eligibility guidelines, whether or not rent is paid has no effect on eligibility.

10) Group Homes

If the building does not qualify as a multi-family structure, income eligibility is based on all occupants as a group, and the building must be weatherized as a single dwelling unit.

C. Minimum Requirements for Weatherization Services

- 1) Single-family detached and other single-story dwellings that have not been previously weatherized under a CSD program or other program may be weatherized under this Agreement only if:
  - a. Ceiling Insulation plus two additional Mandatory Measures are installed, or

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- b. In the event Ceiling Insulation is not feasible, at least four Mandatory Measures are installed.
  - 2) Multi-unit dwellings that have not been previously weatherized under a CSD program or other program, may qualify for weatherization services only if ceiling insulation plus two (2) additional mandatory measures are installed or, in the event ceiling insulation is not feasible, at least three (3) mandatory measures.
    - a. Installation of ceiling insulation may be counted as a ceiling insulation measure for each unit within that building envelope.
    - b. Installation of a common water heater shall qualify as a mandatory measure for each unit served by the same water heater.
    - c. Insulation of a common water heater shall qualify as a mandatory measure for each unit served by the same water heater.
  - 3) If the required minimum number of weatherization measures cannot be installed due to the deferral of measures, then the entire unit shall be deferred and the dwelling ineligibility documented in the client file.
  - 4) Repair of large leaks identified by blower door testing may reduce shell leakage so close to the Minimum Ventilation Requirement (MVR) that caulking and/or weatherstripping are not feasible, thus reducing the number of feasible Mandatory Measures to fewer than needed to qualify the dwelling for weatherization. In this case, Contractor may substitute noninfiltration reduction Optional Measures as needed for the nonfeasible caulking and/or weatherstripping measures only if a NEAT energy audit has been performed and the savings-to-investment ratio (SIR) is greater than 1 for any Optional Measures to be installed.
  - 5) The minimum number of weatherization measures may be leveraged with other weatherization programs. All leveraged measures used to fulfill the minimum number of required weatherization measures shall meet CSD installation standards.
- D. Dwelling Assessments
- 1) Contractor shall inspect the dwelling of each eligible applicant to determine if the unit is structurally sound and not in need of extensive repairs.
  - 2) If the dwelling unit is not eligible because of the need for extensive repair, the unit shall not be serviced and the applicant should be referred to the

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local Housing and Community Development Department, U.S. Farmers Home Administration Housing Loan Program, or other similar organizations or programs.

- 3) Documentation of such ineligibility due to the need for extensive repairs shall be recorded on the CSD Weatherization Deferral Form.
- 4) If the applicant can obtain the necessary repairs to make the dwelling unit eligible for weatherization services, weatherization activities may be accomplished following the repair work.
- 5) If an unvented space heater is being utilized, infiltration reduction measures shall not be applied unless venting is installed or the unit is replaced.
- 6) The completion of the entire combustion appliance safety (CAS) test is required on all dwellings with combustion appliances.

Subcontractors who possess a valid C-20 specialty license may use alternative diagnostic testing methods to assess operational performance that meets or exceeds industry standards for testing heating and cooling appliances they have been contracted to repair or replace.

- 7) If it is determined during the CAS test that the dwelling unit contains a condition that is hazardous to the occupants, proper steps must be taken to alleviate the hazard. In these cases, infiltration reduction measures may not be installed until the hazard has been corrected; however, Contractor may install noninfiltration reduction measures.
- 8) Contractor shall perform the blower door diagnostic testing only for shell sealing purposes on a minimum of twenty percent (20%) of the total SFD (1 to 4 units) and a minimum of five percent (5%) of MUD (5 or more units) weatherized under this Agreement.
- 9) Following a determination that no combustion byproduct hazards exist, Contractor shall perform pressure diagnostic guided infiltration reduction using a preweatherization blower door test.
- 10) Duct Blaster diagnostic testing shall be required on all weatherized dwellings units with forced-air systems.

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E. Health and Safety Measures

- 1) Contractor is authorized to mitigate health and safety hazards generated by combustion appliances, preserve or improve indoor air quality, and address knob-and-tube wiring. In addition to all provisions in this Agreement regarding Health and Safety Measures, Contractor must adhere to the attached 2008 HEALTH AND SAFETY APPLIANCE REPLACEMENT POLICY, EXHIBIT F, ATTACHMENT II, to seek reimbursement for replacing specified appliances.
- 2) All Health and Safety and Mandatory Measures must be installed before optional measures, and no measure shall be excluded, unless the:
  - a. Blower door and/or pressurized duct diagnostic test indicates that installation of the measure is not necessary;
  - b. Dwelling already has that measure in place;
  - c. Measure cannot be properly installed;
  - d. Client refuses installation (client refusal is to be documented and placed in file);
  - e. Maximum dollar limit is reached; or
  - f. Measure is not needed or required.
- 3) If a health or safety hazard is found to exist that requires replacing or repairing a combustion appliance, the cost of which will preclude the installation of the required number of Mandatory Measures for a unit to be weatherized, the dwelling may qualify for weatherization under the following conditions:
  - a. The combustion appliance is repaired or replaced; and
  - b. All remaining feasible Mandatory Measures are installed up to the maximum dollar limit.
- 4) If the dollar limit has not been reached in installing feasible mandatory measures, Contractor may install optional measures after performing a NEAT energy audit.

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F. Allowable Heating and Cooling Appliance Repair and Replacement Services

- 1) The following guidelines are applicable to services delivered through the DOE Weatherization and are restricted to occupied SFD and/or MUD units:
  - a. A residential heating source that qualifies for repair and replacement services must be a single, pre-existing heating appliance, serving as the dwelling's primary heating source.
  - b. A residential cooling source that qualifies for cooling services must be a single, pre-existing cooling appliance, serving as the dwelling's primary cooling source, limited to mechanical air conditioners, central and window/wall air conditioners, and evaporative coolers.
- 2) Heating and/or cooling services may be provided when one of the following conditions exists:
  - a. Existing primary heating/cooling appliance is deemed hazardous by a qualified technician or HVAC contractor; or
  - b. Existing primary heating/cooling appliance is verified by a qualified technician or HVAC contractor to be inoperable or in need of repair.
- 3) Prior to the performance of any heating/cooling service, a qualified technician must perform a diagnostic inspection of the primary heating/cooling appliance to assess operational performance. If the inspection discloses a problem related to the appliance's operational performance, the technician or an HVAC contractor will need to isolate the specific problem and determine the estimated cost to repair the defective unit before deciding whether or not to repair or replace the defective unit.
- 4) Any and all heating/cooling services shall be performed in accordance with the following guidelines:
  - a. All repair and replacement services are limited to dwellings with pre-existing heating and cooling appliances. An exception to this rule exists, however, for those dwellings without a heating and cooling appliance and there are no means to provide adequate heating and/or cooling during a climatic season that would cause imminent harm to the health and well being of individuals or the household.

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- b. All such appliance replacements are further subject to the 2008 HEALTH AND SAFETY APPLIANCE REPLACEMENT POLICY, EXHIBIT F, ATTACHMENT II.
- c. The age of a heating/cooling appliance shall not be used as a basis for replacement.

- 5) Contractor shall repair a defective primary heating appliance when the cost to assess and repair is estimated at less than 30 percent (30%) of the cost of installing a new replacement unit.
- 6) If during the course of repairing the defective unit, additional problems are found that would increase the cost of repairs to more than the allowable limit for repair costs, the unit may be replaced.
- 7) When replacement of a defective primary heating/cooling appliance is performed, Contractor shall perform necessary duct repair and/or replacement services in order to conform to Title 24 requirements.

**G. DOE Waiver for Fuel Switching**

Contractor shall not switch fuel when replacing furnaces or any other allowable appliance unless DOE provides a waiver in writing. Contractor shall keep a copy of such waiver in the client's file and shall forward a copy to CSD.

**H. Mandatory Measures**

After the Outreach, Intake, Assessment, Health and Safety check of combustion appliances, the following feasible mandatory measures shall be installed in all types of allowable dwellings prior to Priority List Measures:

- 1) Infiltration measures
- 2) Minor envelope repairs
- 3) General heat waste measures
- 4) Electric baseload measures

**I. Priority Lists of Energy Conservation Measures**

- 1) Contractor shall install the following energy conservation measures where feasible in site-built single-family dwellings and small multi-family dwellings (less than five units):

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- a. Climate Zone 4 (less than 2,000 CDD and less than 4,000 HDD)
    - i. Programmable thermostats
    - ii. Ceiling insulation
    - iii. Kneewall insulation
    - iv. Floor insulation
    - v. Attic venting, only in conjunction with ceiling insulation
    - vi. Floor foundation venting, only in conjunction with floor insulation
  - b. Climate Zone 5 (2,000 CDD or more and less than 4,000 HDD)
    - i. Programmable thermostats
    - ii. Ceiling insulation
    - iii. Kneewall insulation
    - iv. Evaporative cooler
    - v. Storm windows for slab-on-grade site-built single family dwellings and small multi-family dwellings only.
    - vi. Attic venting, only in conjunction with ceiling insulation
- 2) Contractor shall install measures from these priority lists in the above numerical order, and Contractor shall not exclude or skip any measure unless:
- a. A blower door and/or pressurized duct diagnostic test indicates that installation of the measure is not feasible;
  - b. Dwelling already has that measure in place;
  - c. Measure cannot be properly installed, or
  - d. Client refuses installation (client refusal is to be documented and placed in file);

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- e. Maximum dollar limit of an average of \$2,966 per dwelling is reached; or
  - f. Measure is not needed or required.
- 3) Contractor shall include notations of exception(s) in the client file. See Exhibit I for a list of Annual Heating Degree Day and Cooling Degree Day Data by city in California.

J. NEAT and MHEA Energy Audits

- 1) If the reimbursement limit of an average of \$2,966 per dwelling has not been reached from the activities of outreach, intake, assessments and diagnostics and infiltration reduction, general heat waste , priority list, and electric base load measures, Contractor shall install optional measures based on a site-specific energy audit for:
- a. All multi-unit dwellings (five or more units);
  - b. All manufactured homes;
  - c. All site-built dwellings in Climate Zone 1, less than 2,000 CDD and more than 7,000 HDD;
  - d. All site-built dwellings in Climate Zone 2, less than 2,000 CDD and 5,500-7,000 HDD;
  - e. All site-built dwellings in Climate Zone 3, less than 2,000 CDD and 4,000-5,499 HDD;
  - f. All site-built dwellings in Climate Zone 4, less than 2,000 CDD and less than 4,000 HDD, beyond the above priority list;
  - g. All site-built dwellings in Climate Zone 5, 2,000 CDD or more and less than 4,000 HDD, beyond the above priority list; unless otherwise allowable as per the Policies and Procedures manual.
  - i. Contractor shall perform energy audits as per the above protocol using the National Energy Audit Tool (NEAT) for single-family site-built dwellings and small multi-family dwellings (less than five units). Contractor shall perform energy audits using the Manufactured Home Energy Audit (MHEA) for manufactured homes.



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- ii. Contractor shall install those feasible energy conservation measures shown by the NEAT or MHEA energy audit to have a savings-to-investment ratio (SIR) of 1 or more, beginning with the highest SIR on the list and working down in SIR order.
- iii. Multi-unit complexes shall have the NEAT energy audit performed on at least one typical unit on each ordinal wall (north, east, west, and south) and at least one inside unit, if applicable. The most common resulting prescribed weatherization measures from these separate energy audit reports above a SIR of 1 shall be installed on eligible units. A separate energy audit shall be performed for each unit that varies from the "typical" units in the same complex. Contractor shall install those feasible energy conservation measures shown by the energy audit to have a SIR of 1 or more, beginning with the highest SIR on the list and working down in SIR order.

K. Natural Disasters

- 1) When a dwelling that has been damaged by a natural disaster such as fire, flood, earthquake, hurricane, etc., a scope of work shall be submitted to CSD for approval prior to beginning work related to a natural disaster. See DOE WAP DISASTER RELIEF PLAN, EXHIBIT F - ATTACHMENT I.
- 2) Contractor may provide services to repair damages that are within the scope of the weatherization program if the same services will not be paid for or reimbursed by any other source.
- 3) The occupant shall be certified as currently eligible and a dwelling assessment shall be performed.

5. PROGRAM STANDARDS AND REGULATORY REQUIREMENTS

A. Program Standards

- 1) Contractor shall adhere to all CSD program standards pursuant to the following documents and manuals which have been incorporated by reference and made part of this Agreement as if attached hereto:
  - a. CSD Low-Income Weatherization Assistance Program Policies and Procedures;

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- b. CSD Conventional Home Weatherization Installation Standards (WIS);
  - c. CSD Mobile Home Weatherization Installation Standards (WIS);
  - d. CSD 2005 PY Interim Policies and Standards;
  - e. CSD Lead-Safe Weatherization Policies;
  - f. CSD Health and Safety Plan for Weatherization Programs;
  - g. CSD Inspection Policies and Procedures;
  - h. CSD LIHEAP/DOE Program 2008 HEALTH AND SAFETY APPLIANCE REPLACEMENT POLICY, EXHIBIT F, ATTACHMENT II;
  - i. CSD Carbon Monoxide (CO) Analyzer and Manometer Calibration Policy;
  - j. DOE WAP DISASTER RELIEF PLAN, EXHIBIT F, ATTACHMENT I; and
  - k. 2008 LIHEAP Eligibility Verification Guide.
- 2) In the event of disagreement between policies and field protocols contained within the Weatherization Installation Standard Manual and/or the Weatherization Policies and Procedures Manual and this Agreement, Contractor shall abide by the terms of this Agreement.

**B. Regulations**

- 1) Standards contained in the Uniform Building Code and local city and county codes shall take precedence over the CSD WIS if the code requirement is not included in the manual and/or is more stringent.
- 2) All applicable dwellings shall be in compliance with California Energy Commission 2005 Building Energy Efficiency Standards, Alterations under Title 24, Part 6, of the California Code of Regulations, California Home Energy Rating System (HERS) Program regulations.

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3. Services provided to all applicable pre-1979 dwellings shall be in compliance with the Environmental Protection Agency rules in 40 CFR 745, Lead-Based Paint Poisoning Prevention in Certain Residential Structures and the Housing and Urban Development rules in 24 CFR 35; Lead Requirements for Hazard Education Before Renovation of Target Housing; Final Rule.
- 4) All program activities shall be in compliance with Weatherization Assistance for Low-Income Persons (10 CFR Part 440) and DOE Weatherization Program Notices
- 5) All materials procured for weatherization purposes shall be in conformance with OMB requirements contained in the following Circulars: A-102, Section 36, or A-110, Section 40.

C. Title 24

- 1) Contractor shall, when required by its local jurisdiction, obtain a building permit when additions or alterations of existing residential buildings are performed or when a component, system, or equipment of an existing building breaks and cannot be repaired.
- 2) Title 24 requirements are applicable only to energy conservation measures installed to dwelling located within Contractor's specific California Energy Commission (CEC) Climate Zone. For a listing of the CEC climate zones, refer to the CSD website at [www.csd.ca.gov](http://www.csd.ca.gov).

Contractor shall exercise caution to not utilize the DOE Climate Zone for Title 24 requirements. The types of climate zones (DOE or CEC) are specifically stated for all applicable weatherization measures.

- 3) Contractor shall obtain the services of a qualified Home Energy Rating System (HERS) Program Rater when required to perform required field verification and diagnostic testing on applicable weatherization measures and building alterations performed under this Agreement.
- 4) Contractor shall obtain the services of a certified HERS Rater to perform the required field verification and diagnostic testing. The HERS Rater shall be an independent entity from the builder or subcontractor performing the building alteration and/or energy-efficiency improvement being tested and verified and shall have no financial interest in the work performed.

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D. Pre-1979 Dwellings

- 1) Lead-based paint is presumed to be present in all pre-1979 units unless the dwelling unit has previously been certified by a California Certified Inspector/Risk Assessor to be lead-free.
- 2) HUD units not previously certified to be lead free, built prior to 1979, and receiving weatherization services in which painted surfaces exceeding de minimis levels are disturbed require the successful achievement of lead-safe standards after the completion of weatherization services. Contractor shall assure that a third-party California Certified Inspector/Risk Assessor performs the clearance inspection after the completion of weatherization services and that the Assessor deems the weatherized HUD unit as lead-safe.
- 3) Contractor shall document notification to tenants of multifamily housing of weatherization and/or renovation activities in common areas using the Notice of Weatherization/Renovation (CSD 320) or Contractor's equivalent and Record of Tenant Notification Procedures (CSD 322) or Contractor's equivalent.

6. QUALITY ASSURANCE

A. Certification

Contractor, or its designee, shall establish a comprehensive, detailed, and fully documented Quality Control procedure to assess the quality and completeness of Weatherization work performed under this Agreement. Such assurance will be documented on the Weatherization Building Assessment and Job Order Sheet (CSD 540) or Contractor's equivalent and shall be signed and dated by a certifying agency representative.

B. Third-Party Inspections

- 1) The State reserves the right to use a third-party inspector to review and verify that the weatherization activities performed under this Agreement conform to applicable standards and practices.
- 2) Unless Contractor assumes the task of arranging inspection visits with the selected weatherization clients, Contractor shall provide the use of a telephone to the inspector.

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- 3) Contractor or a ride-along (designated representative) shall accompany the inspector on client inspection visits and shall provide transportation and equipment to the inspector. When possible, Contractor shall make corrections during the client inspections visits.
- 4) Contractor agrees to remedy all Nonhazardous Conditions (nonhazardous work deficiencies) noted by the State or its designee within 20 working days of written notification.
- 5) Contractor must remedy all Hazardous Conditions resulting from weatherization measure installation. The immediate hazard shall be eliminated within 24 hours, and hazardous conditions shall be completely resolved within five (5) working days of written notification. The time period may be extended for circumstances beyond the Contractor's control; however, the time extension must be approved in writing by CSD prior to the expiration of the five working days.

C. Noncompliance

- 1) Contractor shall be subject to the withholding of reimbursement for failure to completely resolve a Hazardous Condition within five working days or within the modified completion date for units receiving a time period extension. The reimbursement sanction will immediately apply to the next fiscal reimbursement request associated with the primary funding source (program) of the weatherized unit in question. The reimbursement sanction will remain in effect until Contractor successfully resolves the Hazardous Condition and confirms the resolution with CSD and the designated Inspection Contractor. The sanction will apply to all subsequent fiscal reimbursement requests of the primary funding source in question.
- 2) If it is determined that the Contractor has failed to resolve an identified Hazardous Condition in accordance with the Hazardous Correction Work Plan, CSD may utilize the services of the designated Inspection Contractor to successfully resolve the delinquent Hazardous Condition. Contractor will assume responsibility for costs associated with the use of Inspection Contractor's services. The costs will include labor, materials, and travel equal to the Inspection Contractor's training and technical assistance hourly rate and the total amount will be withheld from the Contractor's next request for fiscal reimbursement.

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- 3) If it is determined that the Contractor has incorrectly billed CSD because a measure was not installed or the quantity installed is less than the quantity billed, Contractor shall install the billed measure or quantity, if feasible. In cases when a physical remedy is not possible, repayment of the labor and material costs for the noninstalled measure or quantity will be withheld from subsequent reimbursements.
- 4) Contractors will be subject to Special Conditions if it is determined that one or more of the following conditions exist:
  - a. Contractor has a history of unsatisfactory performance.
  - b. Identification of one or more Hazardous Conditions in dwellings weatherized by Contractor.
  - c. Failure to remedy an identified Hazardous Condition in a timely manner (elimination of immediate hazard within 24 hours and complete resolution correction within five working days of written notification).
  - d. Substantial number of Nonhazardous Conditions and/or identified trends or patterns of nonconformance to installation criteria.

7. TRAINING REQUIREMENTS

- A. Within 30 days of employment, weatherization employees of Contractor and subcontractors who provide basic weatherization services shall receive both Lead-Safe Weatherization Training and Environmental Hazard Training, in accordance with CSD Lead-Safe Weatherization Policy and Procedures. An Assessor, Worker, Supervisor, or Inspector will not be allowed to enter, assess, weatherize, or inspect a pre-1979 dwelling unit until the required Lead-Safe Weatherization Training has been completed. Contractor shall ensure that all work performed by a subcontractor under this Agreement adheres to lead-safe weatherization work practices to minimize the exposure of lead to occupants and workers in pre-1979 dwellings.
- B. Within 180 days of employment, weatherization employees of Contractor and subcontractors who provide basic weatherization services shall receive Basic Weatherization Training by completing the Pacific Gas & Electric (PG&E) Energy Training Center, Stockton (ETC--Stockton), other CSD-approved training facility Basic Weatherization curriculum, or Contractor's CSD-approved internal training curriculum that teaches basic weatherization concepts and conformance with CSD's weatherization policies, procedures, and installation standards.

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- C. Within 180 days of employment, weatherization employees of Contractor who perform shell sealing and duct leakage diagnostic tests shall be properly trained through the Duct & Shell Sealing/Combustion Appliance Safety Training curriculum at the PG&E ETC – Stockton or a CSD-approved comparable training facility; successful completion of field training provided by CSD’s contract field technicians; or a CSD-approved, in-house training curriculum.
- D. Weatherization employees of Contractor and subcontractors who perform basic weatherization services and employees of Contractor who perform heating and cooling appliance services and who perform combustion appliance safety checks shall be properly trained through the Duct & Shell Sealing/Combustion Appliance Safety Training curriculum at the PG&E ETC--Stockton or at a CSD-approved comparable training facility. Field training provided by CSD’s contract field technicians and in-house training is not a substitute for this requirement. No employee of Contractor and subcontractor shall perform combustion appliance safety checks without having completed the required training.
- E. For weatherization services performed on HUD units, all work crews of Contractor and subcontractor who perform basic weatherization services are required to be trained in HUD-approved Lead-Safe Weatherization, although certification is not required. Although a crew supervisor can be certified as a HUD Lead Supervisor, it is not a substitute for the requirement of trained work crews.
- F. Contractor shall maintain and make available for reference to Contractor’s employees and subcontractors who perform weatherization services the following:
  - 1) Current CSD Conventional Home WIS Manual;
  - 2) Current CSD Mobile Home WIS Manual;
  - 3) CSD Low-Income Weatherization Assistance Program Policies and Procedures Manual;
  - 4) Other applicable policies and procedures; and
  - 5) Official Program Notices

8. **LEVERAGING ACTIVITIES**

- A. Contractor is strongly encouraged to provide weatherization services to LIHEAP ECIP HCS-serviced dwellings using LIHEAP, DOE WAP, and/or utility-funded weatherization services.

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- B. Leveraging weatherization funds may be used to install mandatory and/or optional measures in a dwelling in any order practical to the application of weatherization measures. Client files shall be documented accordingly.
- C. Contractor shall ensure that any non-CSD leveraged-funded activity performed in conjunction with the DOE WAP program is in conformance with weatherization guidelines. If permitted by the leveraged-funding source, Contractor shall document within the Weatherization client file the activity performed, date of the activity performed, and the source of the leveraged funds. If the leveraged-funding source prohibits the disclosure of such information, Contractor shall at a minimum make reference to the leveraged activity within the weatherization client file.
- D. CSD ensures that this information will be utilized for the sole purpose of verifying the delivery of services. CSD also reserves the right to use a third-party inspector to review and verify that the leveraged-funded activities conform to applicable standards and practices. Contractor shall ensure that duplicate billings for the same product or service do not occur.

9. RECORD-KEEPING RESPONSIBILITIES

- A. Contractor shall maintain client intake/needs assessment form(s) for Weatherization, and appropriate supporting documentation and shall maintain separate client files containing supporting documents related to disqualifications, denials, and appeals for each applicant who is not certified as being eligible to receive assistance.

B. Client Files – General Requirements

Contractor shall maintain a separate file for each applicant certified as eligible to receive assistance. Said files shall include at least the following documentation, if applicable:

- 1) For Public Agencies only - Statement of Citizenship, Alienage and Immigration Status for Public Benefits (CSD 600) and supporting documents;
- 2) Energy Intake Form (CSD 43 or 44) or Contractor's equivalent;
- 3) Utility/energy bill(s) for all sources of energy used by qualified households;
- 4) Source documentation supporting eligibility; and



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- 5) Client Education Confirmation of Receipt (CSD 321) or Contractor's equivalent.

C. Client Files –Weatherization

Contractor shall maintain the following documents for each applicant receiving weatherization services, if applicable:

- 1) Weatherization Building Assessment and Job Order Sheet (CSD 540) or Contractor's equivalent;
- 2) Combustion Appliance Safety Inspection Form (CASIF);
- 3) Blower Door and Duct Blaster Data Sheet (BDDDBDS);
- 4) CSD Hazardous Correction Work Plan (HCWP);
- 5) CSD Weatherization Deferral Form and other source documentation supporting deferrals and appeals;
- 6) Notice of Weatherization/Renovation (CSD 320) or Contractor's equivalent;
- 7) Record of Tenant Notification Procedures (CSD 322) or Contractor's equivalent;
- 8) Energy Service Agreement for Rental Units (CSD 515) or Contractor's equivalent;
- 9) Weatherization Inspection Report (WIR) (CSD 581);
- 10) Multi-Family Dwelling Unit Eligibility Certification (CSD 75P) or Contractor's equivalent;
- 11) Required building permits, or building permit applications or documentation of permit cost;
- 12) Copy of lead clearance inspection by a California Certified Inspector/Risk Assessor for applicable pre-1979 HUD units;
- 13) Waivers from CSD to exceed maximums costs of weatherization measures;
- 14) Source documentation that substantiates all actual labor hours and all costs for labor and materials;

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- 15) Source documentation of weatherization measures installed and leveraged with other CSD and non-CSD weatherization program funds;
- 16) Source documentation that substantiates the criteria and basis for replacement of all gas and electric appliances including results of all required diagnostic tests results and the nonfeasibility of all mandatory measures not performed or installed;
- 17) Source documentation indicating the manufacturer, make, and model of all replaced refrigerators;
- 18) Source documentation and records substantiating mileage claims by individual weatherized SFD and MUD Unit;
- 19) A copy of the NEAT or MHEA energy audit output report listing the recommended energy conservation measures;
- 20) Source documentation of HERS inspection;
- 21) Source documentation providing evidence that the client receiving disaster-related services was a victim of a natural disaster; and
- 22) Source documentation providing evidence of participation in a federal, state, or local government rehabilitation program if being used to qualify ineligible multi-family dwelling units for weatherization services.

**D. Other Recordkeeping Responsibilities**

- 1) Labor and Materials
  - a. Contractor shall maintain source documentation in such a manner that include job references and total labor hours so that actual costs and actual labor hours billed to the weatherization program can be substantiated.
  - b. Contractor shall document all costs expended under this Agreement with purchase orders, inventory records, and payroll records identifying the funding source.
  - c. Contractor shall maintain source documentation in such a manner to prove that materials used under this program conform to the requirements contained within the CSD Weatherization Installation Standards and/or state, county, or local regulations.

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2) Training

Contractor and subcontractors who perform basic weatherization services are required to maintain a training log for current employees. The training log shall document for each employee all training received and shall include for each training session/course the source/location, type/content, and completion date. Such training log shall be maintained in the Contractor's file and shall be made available for review by CSD upon request.

3) Equipment

- a. Contractor and subcontractors who perform combustion appliance safety tests shall maintain the Carbon Monoxide Analyzer Calibration Log (CSD 785) documenting the calibration of all analyzers as required.
- b. Contractor and subcontractors who perform blower door and duct leakage diagnostic tests shall maintain the Manometer Calibration Log (CSD 786) documenting the calibration of all manometers as required.

10. SCHEDULE OF ATTACHMENTS

The following attachment to this exhibit is hereby attached and incorporated by this reference:

ATTACHMENT I    DOE WAP DISASTER RELIEF PLAN

ATTACHMENT II    2008 HEALTH AND SAFETY APPLIANCE  
REPLACEMENT POLICY

**EXHIBIT F**  
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**ATTACHMENT I**  
**DOE WAP DISASTER RELIEF PLAN**

## **EXHIBIT F, ATTACHMENT I**

### **State of California Department Of Energy Weatherization Assistance Program (DOE WAP) Disaster Relief Plan**

The purpose of California's Department of Energy (DOE) Disaster Relief Plan is to provide emergency services to low-income individuals and families affected by a disaster as determined by a Presidential or Gubernatorial order declaring either a Federal or State Emergency. The plan will be in effect for a minimum of six months but could be extended dependent upon the anticipated recovery period.

Disaster relief services are only available to qualified low-income households directly affected by the declared disaster. Subgrantees may re-prioritize service requests from these households so that timely weatherization and re-weatherization services can be provided. Dwellings may only be provided repairs or weatherization services that are not paid for by insurance or reimbursed by any other source. Any home damaged by disaster can be reweatherized without regard to date of the original weatherization.

For qualified households, the unit allowance will be increased to the maximum reimbursement for a state of emergency as permitted in the DOE WAP Contract. The maximum is calculated at approximately 15% higher than the most current average per weatherized dwelling unit as established by DOE. The maximum limit for minor envelope repairs will be equivalent to the maximum reimbursement per unit dwelling.

Relief services shall include but are not necessarily limited to the following activities in order of priority:

1. All health & safety measures that are within the scope of the weatherization program are given first priority. Health & safety measures can also be expanded to address specific needs of the clientele such as site clean-up and temporary heating sources.
2. Secondary priority will be given to a specific list of weatherization measures that will be established as the most beneficial for the type of disaster. The need for these measures must be due to a direct result of the disaster; otherwise, the order of their installation reverts back to normal weatherization policies and procedures. For each emergency, CSD will seek approval from DOE regarding the priority of these measures and the abandonment of applicable NEAT energy audit requirements.

3. All remaining measures are to be installed in order of priority in accordance with the CSD Low-Income Weatherization Assistance Program Policies and Procedures.
4. Technical assistance may be provided to residents, builders, contractors, and others who are involved in the recovery efforts to aid in achieving the energy efficiency goals of the program.

Prior to initiating disaster relief services, Subgrantees will be required to submit a written plan to CSD outlining the services to be provided and to report activities, expenditures, and demographics as required by the weatherization program.

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**ATTACHMENT II**

**2008 HEALTH AND SAFETY APPLIANCE REPLACEMENT POLICY**

**EXHIBIT F – ATTACHMENT II**  
**CSD LIHEAP/DOE Weatherization Programs**  
**2008 Health and Safety Appliance Replacement Policy**

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**Purpose**

The purpose of this policy is to define the conditions and criteria for the replacement of specific appliances under CSD's LIHEAP and DOE Weatherization Programs. This policy sets conditions and criteria that are in addition to, and not instead of, all other provisions of the applicable contract, including but not limited to allowable expenditures under ECIP and SWEATS. Please cross-reference all applicable policies to determine the allowability of appliance replacements in any particular situation.

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**Space Heating Unit**

Replacements may be performed under one of the following circumstances:

- Existing heating appliance poses a health and safety hazard; or
- Absence of a space heating appliance or an inoperable space heating appliance poses imminent harm to the safety and well being of the occupants.

Condition of appliance must meet any one or more of the following criteria:

- Repair cost exceeds 30% of replacement cost;
- Replacement parts to complete repair are obsolete and not available;
- CO hazard exists that cannot be corrected or repaired within the scope of the program;
- Cracked, damaged, improperly modified, or defective firebox/heat exchanger;
- Existing furnace in mobile home is not listed and approved for use in a mobile home (per current HUD Code), including an open combustion unit in the living space;
- Existing unit verified by a certified technician to be inoperable and cannot be repaired.

Replacements are subject to the following limitations:

- Limited to dwelling's primary space heating appliance;
  - Performed only in conjunction with weatherization services;
  - Age of the appliance is not a basis for replacement;
  - Repairs and replacements performed under DOE for non-health and safety reasons are considered Optional Measures and subject to the NEAT Energy Audit.
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**Wood-Burning Stoves**

Replacements may be performed under one of the following circumstances:

- Existing stove poses a health and safety hazard; or
- Absence of the appliance or an inoperable appliance poses imminent harm to the safety and well being of the occupants.

Condition of appliance must meet any one or more of the following criteria:

- Repair cost exceeds 30% of replacement cost;
  - Replacement parts to complete repair are obsolete and not available;
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*Continued on next page*



## 2008 Health and Safety Appliance Replacement Policy, continued

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### Wood-Burning Stoves (continued)

- CO hazard exists that cannot be corrected or repaired within the scope of the program;
- Cracked, damaged, improperly-modified, or defective firebox;
- Cracks in stove beyond repair and making it unsafe to operate;
- Defective door cannot be repaired or replaced;
- Existing wood stove in mobile home is not listed and approved for use in a mobile home (per current HUD code).

Replacements are subject to the following limitations:

- Limited to dwelling's primary heating or cooking appliance;
  - Performed only in conjunction with weatherization services;
  - Age of the appliance is not a basis for replacement;
  - Repairs and replacements performed under DOE for non-health and safety related reasons are considered Optional Measures and subject to the NEAT Energy Audit.
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### Central and Window/Wall Air Conditioners

Replacements may be performed under one of the following circumstances:

- Existing cooling appliance poses a health and safety hazard; or
- Absence of a cooling appliance or an inoperable cooling appliance poses imminent harm to the safety and well being of the occupants.

Condition of appliance must meet any one or more of the following criteria:

- Repair cost exceeds 50% of replacement cost and/or exceeds the scope of general maintenance (window wall A/C only);
- Repairs other than those listed exceed 50% of replacement cost (central A/C only);
- Replacement parts to complete repair are obsolete and not available;
- Existing unit is verified by a technician/contractor to be inoperable and cannot be repaired.

Replacements are subject to the following limitations:

- Limited to the dwelling's primary cooling appliance;
  - Performed only in conjunction with weatherization services;
  - Age of the appliance is not a basis for replacement;
  - Repairs and replacements performed under DOE for non-health and safety related reasons are considered Optional Measures and subject to the NEAT Energy Audit.
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### Evaporative Coolers

Replacements may be performed under one of the following circumstances:

- Existing cooling appliance poses a health and safety hazard; or
  - Absence of a cooling appliance or an inoperable cooling appliance poses imminent harm to the safety and well being of the occupants.
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## 2008 Health and Safety Appliance Replacement Policy, continued

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### **Evaporative Coolers** (continued)

Condition of appliance must meet any one or more of the following criteria:

- Repair cost exceeds 50% of replacement cost;
- Rusted and/or leaking pan not feasible to repair;
- Existing unit is undersized unit for the conditioned living space being cooled.

Replacements are subject to the following limitations:

- Limited to the dwelling's primary cooling appliance;
- Performed only in conjunction with weatherization services;
- Age of the appliance is not a basis for replacement.

Repairs and replacements performed under DOE for non-health and safety related reasons are considered Priority Measures (Zone 5 only) or Optional Measures subject to the NEAT Energy Audit.

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### **Water Heating (Gas and Electric)**

Replacements may be performed under the following circumstance:

- Existing water heating appliance or an inoperable water heating appliance poses a health and safety hazard.

Condition of appliance must meet any one or more of the following criteria:

- Repair cost exceeds 50% of replacement cost;
- Replacement parts to complete repair are obsolete and not available;
- CO hazard exists that cannot be corrected or repaired within the scope of the program;
- Mineral buildup inside the tank has significantly reduced efficiency/capacity;
- Tank is leaking water.

Replacements are subject to the following limitations:

- Limited to dwelling's primary water heating source;
- Performed only in conjunction with weatherization services;
- Age of the appliance is not a basis for replacement;
- Repairs and replacements for gas water heaters performed under DOE for non-health and safety related reasons are considered Optional Measures subject to the NEAT Energy Audit.

Repairs and replacements under DOE for non-health and safety related reasons are considered Mandatory Electric Base Load Measures.

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## 2008 Health and Safety Appliance Replacement Policy, continued

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### **Cooking Ranges (Gas and Electric)**

Replacements may be performed under the following circumstance:

- Existing cooking appliance poses a health and safety hazard.

Condition of appliance must meet any one or more of the following criteria:

- Repair cost exceeds 50% of replacement cost within the scope of the program;
- Obsolete parts (replacements not available);
- CO hazard exists that cannot be corrected or repaired;
- Electrical hazard exists that cannot be corrected;
- Oven door does not close properly because it is sprung or otherwise damaged.

Replacements are subject to the following limitations:

- Limited to dwelling's primary cooking appliance;
  - Performed only in conjunction with weatherization services;
  - Age of the appliance is not a basis for replacement;
  - Repairs and replacements under DOE for non-health and safety related reasons are Optional Measures subject to the NEAT Energy Audit.
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**DEFINITIONS**

All terms used in this Agreement shall be those as defined in applicable federal law (see 42 U.S.C. § 6861) and regulation (see 45 C.F.R. Part 440), or as more specifically defined as:

Agreement: The complete contents of this contract entered into by and between the State and Contractor, including all rights, duties, and obligations, whether expressed or implied, required toward the legal performance of the terms hereof.

Amendment: A formal change to the Agreement of a material nature including but not limited to the term, scope of work, or name change of one of the Parties, or a change of the maximum amount of this Agreement.

American Indian (also known as Native American): Any individual who is a member or a descendant of a member of a North American tribe, band, or other organized group of native people who are indigenous to the continental United States or who otherwise have a special relationship with the United States through treaty, agreement, or some other form of recognition, residing within the State. This includes any individual who claims to be an Indian and who is regarded as such by the Indian community of which he or she claims to be a part. This definition also includes Indians of Alaska.

Authorized Agent: The duly authorized representative of the Board of Directors of Contractor and duly elected or appointed, qualified, and acting officer of the State. In the case of Contractor, the State shall be in receipt of board resolution affirming an agent's representative capacity to bind Contractor to the terms of this Agreement.

California Certified Inspector/Risk Assessor Contractor: An individual who is certified by the State of California, Department of Health Services, as a lead-related construction Inspector/Risk Assessor.

California Energy Commission (CEC) Climate Zone: The CEC established 16 climate zones that represent a geographic area and that have a particular weather pattern. These climate zones are based on energy use, temperature, weather, and other factors that determine the types of building standards that are subject to the Title 24 Energy Efficiency Standards and that dictate the energy conservation measures which must be installed in a weatherized dwelling, as required by law.

Certified Lead-Free: Residential property that has been determined by a California Certified Inspector/Risk Assessor Contractor to be absent from the presence of lead-based paint.

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Certified Lead-Safe: Residential property in which lead-painted surfaces are intact and/or have been treated with measures to stabilize and eliminate lead-paint hazards and that, as such, poses no immediate threat to the occupants as determined by a California Certified Inspector/Risk Assessor Contractor.

Children: Members of a household who have not attained their nineteenth (19th) birthday.

Client Intake: Includes, but is not limited to, the process of completing an intake form and reviewing applicant documentation in order to verify eligibility. Intake is reimbursable as a program support activity.

Client Needs Assessment: The act of acquiring additional and appropriate information from an eligible client to determine the needs that can be served by CSD and other available programs AFTER eligibility has been established.

Contractor: The entity (partnership, corporation, agency, or association) designated on page 1 of this Agreement.

CSD: The Department of Community Services and Development, State of California.

Di Minimis Levels: The amount of lead paint disturbed in a dwelling is comprised of two (2) square feet per room of interior surfaces, or twenty (20) square feet of exterior surface, or ten percent (10%) of a small component, e.g., window sill, baseboards, and trim. When calculating the di minimis level, the entire surface of the component must be included in the computation. For example, when replacing a 2 x 3 foot window, the di minimus level would be six (6) square feet and would exceed the maximum allowance for interior surfaces and the unit would be subject to HUD Regulation.

DOE - The United States (U.S.) Department of Energy that provides funds for the Weatherization Assistance Program for Low-Income Persons. This program is authorized by Title IV of the Energy Conservation and Production Act (P.L. 94-385). The federal regulations for this program are in 10 CFR Part 440. The intent of this program is to increase the energy efficiency of low-income dwellings, reduce the occupant's total residential energy expenditures, and improve their health and safety.

DOE Climate Zone - One of five climatically distinct areas, defined by long-term weather conditions affecting the heating and cooling loads in buildings. The Energy End Use and Integrated Statistics Division (EEUUSD) developed the zones from seven distinct climate categories originally identified by the American Institute of Architects (AIA) for the U.S. Department of Energy and the U.S. Department of Housing and Urban Development. The zones were determined according to the 30-year average (1961-1990) of the annual heating and cooling degree-days (base 65 degrees Fahrenheit). The zones are defined as follows:

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- a. Climate Zone 1 - Less than 2,000 cooling degree days (CDD) and more than 7,000 heating degree days (HDD)
- b. Climate Zone 2 - Less than 2,000 CDD and 5,500 to 7,000 HDD
- c. Climate Zone 3 -Less than 2,000 CDD and 4,000 to 5,499 HDD
- d. Climate Zone 4 -Less than 2,000 CDD and less than 4,000 HDD
- e. Climate Zone 5 -2,000 or more CDD and less than 4,000 HDD

Dwelling Assessment: The process of performing an on-site review of the dwelling unit of an eligible applicant in order to determine the labor and materials necessary to install energy conservation measures.

Dwelling Unit: A house, including a stationary mobile home, an apartment, a group of rooms, or a single room occupied as separate living quarters.

Elderly: An individual 60 years of age or older.

Electric Base Load Measure: A measure that addresses the energy efficiency and energy usage of lighting or appliances. Allowable electric base load measures are compact fluorescent lamps and fixtures, replacement refrigerators, electric water heaters, evaporative cooler installations, and window/wall air conditioner replacement.

Energy Audit - An energy audit is an analysis tool intended to be used by the weatherization agencies for the purpose of determining a list of cost-effective measures for a specific dwelling. There are many types of energy audits available; however, the NEAT/MHEA are used for the purposes of this Agreement.

Energy Burden: The expenditures of the household for home energy divided by the income of the household.

Energy Conservation Measures (also known as Weatherization Measures): A wide variety of measures installed in or applied to the dwelling to increase the energy efficiency or to reduce the total energy expenditures of the dwelling.

Estimated Budget Allocation: The estimated dollar amount of DOE annual funding, based on the Final Allocation from the 2007 DOE Contract, used to facilitate the completion of budgets, fiscal and local planning efforts in the event this agreement is executed prior to federal authorization of the full annual allocation of DOE funding and funded under continuing Resolution appropriations.

Evaporative Cooler Repairs: Repair or replacement of filter pads, water pumps, belts, motors, or other components that promote efficient operation of the unit.

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Excess Revenue: The difference between “Total Actual DOE Revenue” less “Total Actual DOE Costs.” If the amount in “Total Actual DOE Revenues” is less than the amount in “Total Actual DOE Costs,” then there is no excess revenue.

Family Unit: All persons living together in a dwelling unit.

Final Allocation: The actual amount of funds available to Contractor under this Agreement after CSD receives the notice of grant award for the full annual allocation based on the appropriation by Congress for Federal Fiscal Year 2008, and as publicly announced by CSD’s Director or designee, subsequent to the execution of this Agreement.

Fuel Surcharge: A factor that addresses the increase in current fuel prices.

General Heat Waste Measures: Those measures installed to reduce general heat or cooling waste in the dwelling. The following list of general heat waste measures may be installed in all types of dwellings if feasible, including multi-unit dwellings and manufactured homes:

- a. Evaporative cooler covers and air conditioner vent covers;
- b. Hot water flow restrictors;
- c. Water heater blankets; and
- d. Water heater pipe wrap.

Hazardous Condition: Any condition posing an immediate health and safety threat to the client and/or persons working in the dwelling unit. Hazardous conditions include, but are not limited to: Combustion Appliance Safety (CAS) hazards, appliance-related hazards, and electrical hazards as defined in the CSD Inspection Policies and Procedures.

Heating/Air Conditioning Appliance Repairs/Replacements: The complete unit replacement cleaning of fuel nozzles and jets, adjustments of gas pressure and/or air/fuel mixture, replacement of thermocouples, adjustment of refrigerant charge, filter replacements, or other component repairs or replacements necessary for safe and efficient operation. Must be accomplished by a person licensed to perform such work. Special licensing may be required for the installation and/or repair of Evaporative Cooler, Air Conditioning, Gas and Electric Water Heaters, and HVAC systems if two or more weatherization measures are not installed in a single unit. Electrical wiring upgrade/replacement and knob-and-tube wiring certification will always require a C-10 license. If required by local jurisdiction, a building permit must be obtained and finalized for vented appliance installations.

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High Residential Energy User: A low-income household whose residential energy expenditures exceed the median level of residential expenditures for all low-income households in the State.

Household with a High Energy Burden: A low-income household whose residential energy burden (residential expenditures divided by the annual income of that household) exceeds the median level of energy burden for all low-income households in the State.

Highest Home Energy Needs: The home energy requirements of a household determined by taking into account both the energy burden of such household and the unique situation of such household that results from having members of vulnerable populations, including very young children (0-5), individuals with disabilities, and frail older individuals (60+).

Home Energy Rating System (HERS) Provider, also referred to as HERS Rater: An entity or individual recognized by the California Energy Commission as a HERS Provider and certified in performing the necessary field and diagnostic testing verifications for demonstrating compliance with the 2005 Building Energy Efficiency Standards.

HUD Unit: A housing unit participating in a U.S. Department of Housing and Urban Development (HUD) Assisted Housing Program.

Infiltration Reduction Measures: A subcategory of weatherization measures installed in or applied to dwellings to reduce or stop the uncontrolled flow of conditioned air out of the dwelling or the uncontrolled flow of outside air into conditioned areas in the dwelling done to the point of minimum ventilation requirement or it is no longer cost effective to proceed. Infiltration reduction is best accomplished with blower door technology.

Interest Income: The interest earned by a Contractor directly generated or earned as a result of unexpended DOE WAP grant funds at the end of a contract term period. The interest earned by a Contractor is income generated as a result of depositing federal funds in an interest bearing account.

Manufactured Home Energy Audit (MHEA): An advanced computer audit software developed at Oak Ridge National Laboratory for DOE's Weatherization Assistance Program. Used to determine the most cost-effective retrofit measures for mobile home dwellings to increase the comfort of occupants and reduce monthly utility costs. After the user inputs data on the dwelling characteristics, including the types of heating and cooling systems, MHEA produces a prioritized list of cost-effective measures customized for each dwelling. The output also includes an estimated dollar value for the projected energy savings, savings-to-investment ratios, and a list of the quantities of materials necessary to perform the recommended retrofit.



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Materials: Materials are those allowable items that are installed in or on the dwelling to promote energy conservation. All materials shall be in conformance with the CSD Conventional Home Weatherization Installation Standards and CSD Mobile Home Weatherization Installation Standards. Materials are budgeted and reported under Direct Program Activities.

Maximum Amount: The dollar amount reflected on line 3 of the face sheet (STD 213) of this Agreement, as amended to reflect the Final Allocation for the term of this Agreement.

Migrant Farm Worker: A seasonal farm worker who performs or has performed farm work during the eligibility determination period (any consecutive 12-month period within the 24-month period preceding application for program benefits and/or services) that requires travel such that the worker is unable to return to his/her domicile (permanent place of residence) within the same day.

Minor Envelope Repairs: Those repairs necessary for the effective performance or preservation of weatherization materials or to stop infiltration and general heat waste. Contractor shall maintain labor hours cost, materials cost, and required building permits in client's file. Minor envelope repairs include the following:

- a. Blower-door-identified infiltration repairs;
- b. Combustion air venting;
- c. Cover plate replacements;
- d. Entrance door modification, repair, adjustments, and/or replacement and attendant hardware (except deadbolts) into conditioned areas including frames, thresholds, and doorstops. (If the original door had a deadbolt and it can be removed and placed on the new door, then labor costs for this activity can be charged.) The installation of deadbolts in conjunction with an exterior door replacement is allowable on rental units only; however, it is not an allowable reimbursement when entrance doors are modified or repaired. Reimbursement will be based on the material costs for the door, the deadbolt, if applicable, and the labor;
- e. Exhaust fan repair or replacement;
- f. Floor repair for mobile home water heater;
- g. Knob-and-tube wiring "Notice of Survey by Electrical Contractor" and installation of simple overcurrent protection per the CSD Low-Income Weatherization Assistance Program Policies and Procedures Manual;
- h. Minor roof repairs and materials used to protect the materials installed from the weather;

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- i. Mobile home skirting repairs to prevent animal infiltration;
- j. Patching holes in the building envelope that are too big to caulk (includes replacing attic/crawl space access covers); and
- k. Range hood damper and fireplace chimney damper repair or installation.
- l. Exclusions:
  - i. Air conditioner and/or furnace cleaning and filter replacement;
  - ii. Kitchen cabinet repairs and retrofits that are not associated with the replacement of a range, cook top, or previously installed microwave;
  - iii. Sliding glass door repair and replacement;
  - iv. Window and glass repair and replacement; and
  - v. Any other measure that has a chargeable line item.
  - vi. Repairs to the dwelling that do not contribute to sealing of the building envelope, including but not limited to, handicap ramps and major roof repairs or sealment

Mobile Home: A manufactured home that is a permanent, full-time residential dwelling and is not used for commercial purposes.

Modification: An immaterial change to this Agreement that does not require an Amendment.

Multi Unit Dwellings: Defined as residential dwelling structures containing more than one residential unit, including: duplexes, triplexes, fourplexes, and multi-unit apartments. For purposes of travel reimbursement to Contractors and blower door diagnostics, Multi-Unit Dwellings are defined multi-unit dwellings, e.g., apartments with five or more attached residential units.

National Energy Audit Tool (NEAT): An advanced computer audit software developed at Oak Ridge National Laboratory for DOE's Weatherization Assistance Program. Used to determine the most cost-effective retrofit measures for single-family dwellings to increase the comfort of occupants and reduce monthly utility costs. After the user inputs data on the dwelling characteristics, including the types of heating and cooling systems, NEAT produces a prioritized list of cost-effective measures customized for each dwelling. The output also includes an estimated dollar value for the projected energy savings, savings-to-investment ratios, and a list of the quantities of materials necessary to perform the recommended retrofit.

Natural Disaster: A weather event (relating to cold or hot weather), flood, earthquake, tornado, hurricane, or ice storm, or an event meeting such other criteria as the Secretary of

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Federal Department of Health and Human Service, in the discretion of the Secretary, may determine to be appropriate. For the purpose of the DOE WAP Disaster Relief Plan, emergency services may be provided to low-income individuals and families affected by a natural disaster when the event is declared by a Presidential or Gubernatorial Order as a Federal or State Emergency.

Nonprofit charitable organization: is defined by the U.S. Tax Code as a 501(c)3.

Section 501(c)(3) is a tax law provisions granting exemption from the federal income tax to non-profit organizations. 501(c)(3) exemptions apply to corporations, and any community chest, fund, or foundation, organized and operated exclusively for religious, charitable, scientific, testing for public safety, literary, or educational purposes, or to foster national or international amateur sports competition, or for the prevention of cruelty to children or animals.

Outreach and Its Related Costs: Outreach activities are designed to ensure that eligible households, especially households with elderly and/or disabled individuals with high home energy burdens, are made aware of the assistance available. Costs relating to these activities may include: developing outreach materials (flyer/brochure information packets), advertising costs, printing costs, outreach mailers to targeted households, travel to outreach sites and related facilities, site costs, and the referral of eligible households to assistance providers in the community. Intake and assisting with the completion of an intake form are not considered outreach or a related cost.

Parties: CSD on behalf of the State of California and the Contractor.

Priority List - The list of energy conservation measures determined to be cost effective by the CSD NEAT Pilot in Program Year 1998-99. These measures may be installed in the specified type of dwelling in the specified climate zone without performing an energy audit.

The following energy conservation measures shall be installed where feasible in site-built single-family dwellings, and small multi-family dwellings (less than five units):

Climate Zone 4 (less than 2,000 CDD and less than 4,000 HDD)

- a. Programmable thermostats
- b. Attic insulation
- c. Floor insulation.

Climate Zone 5 (2,000 CDD or more and less than 4,000 HDD)

- a. Programmable thermostats
- b. Attic insulation
- c. Evaporative cooler

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- d. Storm windows for slab-on-grade site-built single family dwellings and small multi-family dwellings only.

Program Income: Any funds earned by grantees and/or subgrantees from non-Federal sources during the course of performing DOE Weatherization work. The income generated must be used to complete additional dwelling units in accordance with DOE rules.

Program: Weatherization services provided under 42 USC 6861, et seq., as amended.

Reweathering: To provide previously unapplied weatherization measures to a dwelling that was weatherized under a federal program from September 30, 1993 and earlier and needs further weatherization assistance; or a dwelling unit weatherized using DOE WAP or other Federal program funds after September 30, 1993 that did not receive a full complement of services and previously unapplied allowable measures are to be installed. . This activity is to be reported on the DOE Monthly Activity Report, CSD 571A, as a reweatherized unit.

Ride-along: A representative of the Contractor who accompanies a designated third-party inspector while performing on-site inspections. CSD requires that, when possible, a ride-along be sufficiently trained to make necessary corrections during inspections, thereby minimizing or eliminating the need for return trips that may inconvenience the client and/or require re-inspection in accordance with the CSD Inspection Policies and Procedures.

Seasonal Farm Worker: A person who during the eligibility determination period (any 12-month period within the 24-month period preceding application for program benefits and/or services) was employed at least 25 days in farm work or earned at least \$400 in farm work and who has been primarily employed in farm work on a seasonal basis, without a constant year-round salary.

Separate Living Quarters: Living quarters in which the occupant(s) do not live and eat with any other person(s) in the structure and which have either: (1) direct access from the outside of the building or through a common hall; or (2) complete kitchen facilities for the exclusive use of the occupant(s). The occupant(s) may be a single family, one person living alone, two or more families living together, or any other group of related or unrelated persons who share living arrangements.

Single-Family Dwelling: A dwelling structure containing no more than one dwelling unit. For the purposes of travel reimbursement and blower door diagnostics, a single-family dwelling is defined as a one-unit, single-family dwelling or a one-unit, single-residential housing dwelling with one to four attached units.

Site-built Dwelling: A conventional dwelling unit built on location, differentiated from manufactured (mobile) homes. Also known as stick-built.

**EXHIBIT G**  
**(Standard Agreement)**

State: The State of California, Department of Community Services and Development.

Subcontract: A separate contract or agreement entered into by and between Contractor and Subcontractor to fulfill direct program or administrative tasks in support of this Agreement.

Subcontractor: An entity (partnership, corporation, association, agency, or individual) that enters into a separate contract or agreement with Contractor to fulfill direct program or administrative tasks in support of this Agreement.

Temporary Shelter: Any facility with the primary purpose of providing temporary or transitional shelter for homeless in general or for specific populations of homeless persons.

Vendor: An individual, sole proprietorship, firm, partnership, corporation, or any other business venture from which materials and goods are supplied and purchased.

Vulnerable Populations: Young children (ages 5 years or under), disabled, and elderly persons (ages 60 or older).

Weatherization Training and Its Related Costs: Weatherization-related training activities are designed to ensure that weatherization crewmembers of the contractor and subcontractor are adequately trained in the safe and proper installation of weatherization measures. In particular, employees must be trained in lead-safe weatherization practices and combustion appliance safety (CAS) testing procedures. Costs associated with lead-safe weatherization, basic weatherization, blower door diagnostic, health and safety, CSD weatherization policies and procedures, and CAS trainings may include salary/wages, materials, fees, and travel. Excludes incurred costs associated with participation and attendance to policy advisory committees and workgroups.

Wood-Fueled Stoves and Fireplace Inserts: Wood-fueled stoves and fireplace inserts installed under this program must meet the listing and labeling requirements of the CSD WIS. The recipient and landlord (if applicable) must agree that the stove will remain in the residence where installed. Installation must conform to local fire and building department regulations (Department of Housing and Community Development for Manufactured Homes), must be installed by a person licensed to perform such work, or Contractor must have on file written approval of such installation by a fire department or building inspection official. A building permit is required. A wood-fueled space heater shall not be installed in a dwelling for which it is not the primary heating source or to replace an existing, safely operating wood-fueled space heater.



**EXHIBIT H**  
**(Standard Agreement)**

**CERTIFICATION REGARDING LOBBYING**

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**FAMILY SUPPORT ADMINISTRATION**

**PROGRAM: 2008 Department of Energy Weatherization**  
**Assistance Program (DOE WAP)**

**PERIOD: July 1, 2008 through April 30, 2009**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award document for subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Agency / Organization

\_\_\_\_\_  
Date

## DISCLOSURE OF LOBBYING ACTIVITIES

**Complete the form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)**

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change  <b>For Material Change Only:</b> year _____ quarter _____ date of Last report _____	
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____			<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b> Congressional District, if known: _____		
<b>6. Federal Department/Agency:</b>			<b>7. Federal Program Name/Description:</b> CFDA Number, if applicable: _____		
<b>8. Federal Action Number, if known:</b>			<b>9. Award Amount, if known:</b> \$ _____		
<b>10. a. Name address of Lobbying Entity (if individual, last name, first name, MI):</b>  (attach Continuation Sheet(s) SF-LLL-A, if necessary)			<b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b>          (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned			<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____		
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____					
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Services, including officer(s), employee(s), or Member(s), contacted, for Payment indicated in Item 11:</b> (attach Continuation Sheet(s) SF-LLL-A, if necessary)					
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No					
<b>16. Information requested through this form is authorized by Title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1353. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty for not less than \$10,000 and not more than \$100,000 for each such failure.</b>			<b>Signature:</b> _____		
			<b>Print Name:</b> _____		
			<b>Title:</b> _____		
			<b>Telephone No.:</b> _____ <b>Date:</b> _____		
<b>Federal Use Only:</b>			<b>Authorized for Local Reproductions Standard Form - LLL</b>		

**EXHIBIT H**  
**(Standard Agreement)**

**DISCLOSURE OF LOBBYING ACTIVITIES**  
CONTINUATION SHEET

Approved by OMB  
0348-0046

Reporting Entity: Page \_\_\_\_\_ of

Authorized for Local Reproduction  
Standard Form - LLL-A



**EXHIBIT H**  
**(Standard Agreement)**  
**INSTRUCTION FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full name of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Included all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budgets. Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

**Exhibit I**  
**Annual Heating and Cooling Degree Days**  
**for Selected California Locations**

County	Weather Station Location	Cooperative Station ID #	Heating Degree Days (65° Base)	Cooling Degree Days (65° Base)	DOE Climate Zone
Alameda	Berkeley	40693	2,857	142	4
Alameda	Livermore	44997	2,755	858	4
Alameda	Newark (Oakland)	46144	2,367	530	4
Alameda	Oakland Museum	46336	2,400	377	4
Alameda	Tracy Pumping Plant	49001	2,421	1,470	4
Alameda	Upper San Leandro	49185	2,810	261	4
Alpine	Markleeville	45356	7,091	97	1
Alpine	Twin Lakes	49105	8,874	25	1
Alpine	Woodfords	49775	6,059	356	2
Amador	Electra Power House	42728	2,854	1,218	4
Amador	Salt Springs Power House	47689	3,828	1,015	4
Amador	Tiger Creek PH	48928	4,058	788	3
Butte	Chico University Farm	41715	2,945	1,334	4
Butte	De Sabla	42402	4,040	806	3
Butte	Oroville	46521	2,818	1,422	4
Butte	Paradise	46685	3,145	1,464	4
Calaveras	Calaveras Big Trees	41277	5,924	308	2
Calaveras	Camp Pardee	41428	2,758	1,534	4
Colusa	Colusa 2 SSW	41948	2,702	1,401	4
Colusa	East Park Reservoir	42640	3,498	1,082	4
Contra Costa	Antioch Pump Plant #3	40232	2,714	1,179	4
Contra Costa	Martinez Water Plant	45378	2,757	786	4
Contra Costa	Mount Diablo Junction	45915	3,245	983	4
Contra Costa	Richmond	47414	2,720	184	4
Del Norte	Crescent City 3 NNW	42147	4,687	6	3
Del Norte	Klamath	44577	4,514	5	3
El Dorado	Placerville	46960	3,324	1,164	4
El Dorado	Placerville IFG	46962	3,235	1,470	4
El Dorado	Tahoe Valley AP	48762	8,300	38	1
Fresno	Auburn 2 NW	40379	2,868	1,922	4
Fresno	Balch Power House	40449	3,045	1,794	4
Fresno	Coalinga	41864	2,234	2,204	5
Fresno	Five Points 5 SW	43083	2,446	1,784	4
Fresno	Fresno Yosemite FAT (Intl)	43257	2,447	1,963	4
Fresno	Friant Government Camp	43261	2,672	1,708	4
Fresno	Huntington Lake	44176	6,992	93	2
Fresno	Orange Cove	46476	2,538	1,857	4
Glenn	Orland	46506	2,630	1,581	4
Glenn	Stony Gorge Reservoir	48587	3,268	1,376	4
Glenn	Willows 6 W	49699	2,874	1,358	4
Humboldt	Eureka WFO Woodley IS	42910	4,403	7	3
Humboldt	Grizzly Creek State Park	43647	4,610	38	3
Humboldt	Orick Prairie Creek Pk	46498	5,005	3	3
Humboldt	Orleans	46508	3,389	831	4
Humboldt	Richardson Grove St. Pk.	47404	3,743	500	4
Humboldt	Scotia	48045	3,793	47	4
Humboldt	Shelter Cove AV	48163	3,266	92	4
Humboldt	Willow Creek 1	49694	3,566	887	4
Imperial	Brawley 2 SW	41048	1,155	3,733	5
Imperial	El Centro 2 SSW	42713	1,080	3,952	5
Imperial	Imperial	44223	1,115	3,764	5
Inyo	Bishop AP	40822	4,314	1,003	3
Inyo	Death Valley	42319	1,257	5,296	5
Inyo	Deep Springs College	42331	5,293	843	3
Inyo	Haiwee	43710	3,784	1,441	4
Inyo	Independence	44232	3,579	1,804	4

**Exhibit I**  
**Annual Heating and Cooling Degree Days**  
**for Selected California Locations**

County	Weather Station Location	Cooperative Station ID #	Heating Degree Days (65° Base)	Cooling Degree Days (65° Base)	DOE Climate Zone
Inyo	Wildrose R S	49671	3,663	1,623	4
Kern	Bakersfield Kern Co AP	40442	2,120	2,286	5
Kern	Buttonwillow	41244	2,668	1,857	4
Kern	Glennville	43463	4,466	427	3
Kern	Inyokern	44278	2,633	2,340	5
Kern	Kern River PH 1	44520	1,645	3,236	5
Kern	Kern River PH 3	44523	3,103	1,593	4
Kern	Maricopa	45338	2,190	2,334	5
Kern	Mojave	45756	2,835	1,976	4
Kern	Randsburg	47253	3,134	1,965	4
Kern	Tehachapi	48826	4,301	677	3
Kern	Tejon Rancho	48839	2,555	1,960	4
Kern	Wasco	49452	2,434	1,990	4
Kings	Corcoran Irrigation	42012	2,507	1,909	4
Kings	Hanford 1 S	43747	2,749	1,724	4
Kings	Lemoore Reeves NAS	823110	2,660	1,680	4
Lake	Clearlake 4 SE	41806	3,804	753	4
Lake	Lakeport	44701	3,698	793	4
Lassen	Doyle 4 SSE	42506	6,013	314	2
Lassen	Susanville 2 SW	48702	6,168	390	2
Lassen	Termo 1 E	48873	7,734	134	1
Los Angeles	Avalon Pleasure Pier	40395	1,589	749	4
Los Angeles	Burbank WB Airport	41194	1,575	1,455	4
Los Angeles	Canoga Park Pierce College	41484	1,822	1,485	4
Los Angeles	Culver City	42214	1,344	959	4
Los Angeles	Dry Canyon Reservoir	42516	2,502	1,139	4
Los Angeles	Fairmont	42941	3,199	1,608	4
Los Angeles	Lancaster ATC	44749	3,241	1,733	4
Los Angeles	Long Beach AP	45085	1,211	1,186	4
Los Angeles	Los Angeles Downtown	45115	928	1,506	4
Los Angeles	Los Angeles Intl AP	45114	1,274	679	4
Los Angeles	Montebello	45790	949	1,837	4
Los Angeles	Mt Wilson No 2	46006	3,995	969	4
Los Angeles	Palmdale	46624	2,704	1,998	4
Los Angeles	Pasadena	46719	1,398	1,558	4
Los Angeles	Pearblossom	46773	2,908	1,801	4
Los Angeles	Pomona Fairplex	47050	1,718	1,191	4
Los Angeles	San Gabriel Fire Dept.	47785	1,295	1,575	4
Los Angeles	Sandberg	47735	4,146	1,066	3
Los Angeles	Santa Monica Pier	47953	1,803	429	4
Los Angeles	Torrance	48973	1,526	742	4
Los Angeles	UCLA	49152	1,364	893	4
Madera	Madera	45233	2,670	1,706	4
Marin	Kentfield	44500	2,567	557	4
Marin	San Rafael Civic Center	47880	2,621	451	4
Mariposa	South Entrance Yosemite	48380	6,513	131	2
Mariposa	Yosemite Park Headquarters	49855	4,759	828	3
Mendocino	Covelo	42081	3,925	684	4
Mendocino	Fort Bragg 5 N	43161	4,266	6	3
Mendocino	Point Arena	47009	4,332	4	3
Mendocino	Potter Valley P	47109	3,429	745	4
Mendocino	Ukiah	49122	3,083	843	4
Mendocino	Willits 1 NE	49684	4,302	193	3
Merced	Los Banos	45118	2,570	1,547	4
Merced	Los Banos Det. Reservoir	45120	2,490	1,726	4
Merced	Merced	45532	2,602	1,578	4

**Exhibit I**  
**Annual Heating and Cooling Degree Days**  
**for Selected California Locations**

County	Weather Station Location	Cooperative Station ID #	Heating Degree Days (65° Base)	Cooling Degree Days (65° Base)	DOE Climate Zone
Merced	San Luis Dam	47846	2,625	1,486	4
Modoc	Adin R S	40029	5,988	300	2
Modoc	Alturas	40161	6,808	212	2
Modoc	Canby 3 SW	41476	6,842	199	2
Modoc	Cedarville	41614	6,589	420	2
Modoc	Fort Bidwell	43157	6,653	281	2
Modoc	Jess Valley	44374	7,575	158	1
Mono	Bodie	40943	9,770	4	1
Mono	Bridgeport	41072	8,439	37	1
Mono	Lee Vining	44881	6,513	281	2
Monterey	King City	44555	2,384	598	4
Monterey	Monterey	45795	3,080	74	4
Monterey	Priest Valley	47150	3,946	653	4
Monterey	Salinas AP	47669	2,755	210	4
Monterey	Salinas No. 2	47668	2,819	131	4
Napa	Angwin Pac Union College	40212	3,426	659	4
Napa	Calistoga	41312	2,811	819	4
Napa	Markley Cove	45360	2,996	1,111	4
Napa	Napa State Hospital	46074	2,689	529	4
Napa	Saint Helena	47643	2,652	806	4
Nevada	Boca	40931	8,107	35	1
Nevada	Bowman Dam	41018	6,193	311	2
Nevada	Deer Creek Forebay	42338	4,739	692	3
Nevada	Donner Memorial State Park	42467	8,284	44	1
Nevada	Grass Valley No. 2	43573	4,287	612	3
Nevada	Lake Spaulding	44713	6,321	179	2
Nevada	Nevada City	46136	4,565	689	3
Nevada	Sagehen Creek	47641	8,741	6	1
Nevada	Truckee R S	49043	7,591	100	1
Orange	Anaheim	40192	1,286	1,294	4
Orange	El Toro MCAS	893101	1,461	1,183	4
Orange	Laguna Beach	44647	1,756	666	4
Orange	Newport Beach Harbor	46175	1,715	543	4
Orange	Santa Ana Fire Station	47888	1,153	1,299	4
Orange	Tustin Irvine R.	49087	1,794	1,102	4
Placer	Auburn	40383	2,992	1,366	4
Placer	Blue Canyon	40897	5,545	423	2
Placer	Colfax	41912	3,512	1,116	4
Placer	Tahoe City	48758	7,616	47	1
Plumas	Canyon Dam	41497	6,609	247	2
Plumas	Chester	41700	6,743	184	2
Plumas	Portola	47085	7,303	106	1
Plumas	Quincy	47195	5,490	364	3
Riverside	Beaumont 1 E	40609	2,146	1,572	4
Riverside	Blythe	40924	1,295	3,977	5
Riverside	Blythe AP	40927	1,226	4,166	5
Riverside	Corona	42031	1,599	1,534	4
Riverside	Eagle Mountain	42598	1,131	4,277	5
Riverside	Elsinore	42805	1,924	1,874	4
Riverside	Hayfield Pumping Plant	43855	1,588	3,196	5
Riverside	Idyllwild Fire Department	44211	5,071	333	3
Riverside	Indio Fire Station	44259	903	4,388	5
Riverside	Mecca Fire Station	45502	1,118	3,958	5
Riverside	Palm Springs	46635	951	4,224	5
Riverside	Riverside Citrus Exp Stn	47473	1,674	1,697	4
Riverside	Riverside Fire Station	47470	1,475	1,863	4

**Exhibit I**  
**Annual Heating and Cooling Degree Days**  
**for Selected California Locations**

County	Weather Station Location	Cooperative Station ID #	Heating Degree Days (65° Base)	Cooling Degree Days (65° Base)	DOE Climate Zone
Riverside	San Jacinto R S	47813	1,914	1,903	4
Riverside	Sun City	48655	2,123	1,710	4
Riverside	Thermal Rgnl AP	48892	1,141	3,916	5
Sacramento	Folsom Dam	43113	2,532	1,528	4
Sacramento	Sacramento 5 ESE	47633	2,226	1,597	4
Sacramento	Sacramento AP	47630	2,666	1,248	4
San Benito	Hollister 2	44025	2,724	405	4
San Benito	Pinnacles National Monument	46926	2,907	882	4
San Bernardino	Baker	40436	2,011	3,607	5
San Bernardino	Barstow Fire Station	40521	2,294	2,566	5
San Bernardino	Big Bear Lake	40741	6,548	89	2
San Bernardino	Daggett Barstow DAG Airport	42257	2,228	2,915	5
San Bernardino	El Mirage Field	42771	3,616	1,370	4
San Bernardino	Fontana Kaiser	43120	1,351	1,905	4
San Bernardino	Iron Mountain	44297	1,156	4,476	5
San Bernardino	Lake Arrowhead	44671	5,450	462	3
San Bernardino	Mitchell Cavern	45721	2,902	2,066	5
San Bernardino	Mountain Pass	45890	4,105	1,494	3
San Bernardino	Needles AP	46118	1,227	4,545	5
San Bernardino	Parker Reservoir	46699	1,230	4,523	5
San Bernardino	Redlands	47306	1,904	1,714	4
San Bernardino	San Bernardino	47723	1,599	1,937	4
San Bernardino	Trona	49035	2,492	2,922	5
San Bernardino	TwentyNine Palms	49099	1,910	3,064	5
San Bernardino	Victorville Pump Plant	49325	2,929	1,735	4
San Diego	Alpine	40136	1,926	1,382	4
San Diego	Borrego Desert Park	40983	1,130	3,928	5
San Diego	Campo	41424	3,133	821	4
San Diego	Chula Vista	41758	1,321	862	4
San Diego	Cuyamaca	42239	4,988	457	3
San Diego	El Cajon	42706	1,560	1,371	4
San Diego	El Capitan Dam	42709	1,419	1,712	4
San Diego	Escondido No 2	42863	1,464	1,436	4
San Diego	Henshaw Dam	43914	3,651	786	4
San Diego	La Mesa	44735	1,313	1,261	4
San Diego	Oceanside Marina	46377	2,009	505	4
San Diego	Palomar Mountain Observatory	46657	4,060	963	3
San Diego	Ramona Fire Department	47228	2,192	1,036	4
San Diego	San Diego Lindburgh AP	47740	1,063	866	4
San Diego	San Diego Miramar NAS	893107	1,800	979	4
San Diego	San Diego N. Island NAS	893112	1,446	801	4
San Diego	San Pasqual Animal PK	47874	1,725	1,313	4
San Diego	Vista 2 NNE	49378	1,514	1,047	4
San Francisco	San Francisco Downtown	47772	2,589	164	4
San Francisco	San Francisco Oceanside	47767	3,653	17	4
San Joaquin	Lodi	45032	2,710	1,057	4
San Joaquin	Stockton AP	48558	2,563	1,456	4
San Joaquin	Stockton Fire Station	48560	2,686	1,203	4
San Joaquin	Tracy Carbona	48999	2,880	1,056	4
San Luis Obispo	Morro Bay Fire Dept.	45866	3,344	50	4
San Luis Obispo	Paso Robles	46730	2,932	785	4
San Luis Obispo	Paso Robles Mun PRB	46742	2,789	1,038	4
San Luis Obispo	Pismo Beach	46943	2,524	151	4
San Luis Obispo	San Luis Obispo	47851	2,129	476	4
San Mateo	Half Moon Bay	43714	3,737	11	4
San Mateo	Pacifica 4 SSE	46599	3,247	72	4

**Exhibit I**  
**Annual Heating and Cooling Degree Days**  
**for Selected California Locations**

County	Weather Station Location	Cooperative Station ID #	Heating Degree Days (65° Base)	Cooling Degree Days (65° Base)	DOE Climate Zone
San Mateo	Redwood City	47339	2,764	422	4
San Mateo	San Francisco Intl AP	47769	2,862	142	4
San Mateo	San Gregorio 2 SE	47807	3,629	32	4
San Mateo	Woodside Fire Station	49792	2,769	569	4
Santa Barbara	Cachuma Lake	41253	1,994	970	4
Santa Barbara	Lompoc	45064	2,241	322	4
Santa Barbara	New Cuyama Fire Station	46154	3,321	996	4
Santa Barbara	Santa Barbara	47902	1,902	470	4
Santa Barbara	Santa Barbara Muni AP	47905	2,121	482	4
Santa Barbara	Santa Maria Public AP	47946	2,783	121	4
Santa Barbara	Twitchell Dam	49111	2,199	487	4
Santa Clara	Gilroy	43417	2,278	913	4
Santa Clara	Los Gatos	45123	2,641	613	4
Santa Clara	Mount Hamilton	45933	4,521	747	3
Santa Clara	Palo Alto	46646	2,584	452	4
Santa Clara	San Jose	47821	2,171	811	4
Santa Cruz	Ben Lomond No 4	40673	2,871	400	4
Santa Cruz	Santa Cruz	47916	2,836	162	4
Santa Cruz	Watsonville Waterworks WVI	49473	3,083	123	4
Shasta	Burney	41214	6,495	196	2
Shasta	Hat Creek	43824	5,685	314	2
Shasta	Manzanita Lake	45311	7,486	90	1
Shasta	Redding Municipal AP	47304	2,961	1,741	4
Shasta	Shasta Dam	48135	2,894	1,884	4
Shasta	Whiskeytown Reservoir	49621	3,240	1,628	4
Sierra	Downieville	42500	4,782	438	3
Sierra	Sierra City	48207	5,183	492	3
Sierra	Sierravilla R S	48218	6,884	119	2
Siskiyou	Callahan	41316	5,493	315	3
Siskiyou	Cecilville	41606	5,116	615	3
Siskiyou	Dunsmuir Treatment Plant	42574	4,711	503	3
Siskiyou	Happy Camp Ranger Station	43761	4,255	671	3
Siskiyou	Lava Beds National Monument	44838	6,395	387	2
Siskiyou	McCloud	45449	5,641	368	2
Siskiyou	Mount Shasta	45983	5,991	235	2
Siskiyou	Tulelake	49053	7,003	154	1
Siskiyou	Weed Fire Dept.	49499	6,023	271	2
Siskiyou	Yreka	49866	5,550	550	2
Solano	Lake Solano	44712	2,716	1,420	4
Solano	Fairfield	42934	2,649	975	4
Solano	Vacaville	49200	2,410	1,498	4
Sonoma	Cloverdale	41838	2,639	1,127	4
Sonoma	Fort Ross	43191	4,234	6	3
Sonoma	Graton	43578	3,179	288	4
Sonoma	Healdsburg	43875	2,501	853	4
Sonoma	Petaluma Fire Station	46826	2,741	385	4
Sonoma	Santa Rosa	47965	2,694	526	4
Sonoma	Sonoma	48351	2,647	717	4
Sonoma	Warm Springs DA	49440	2,962	624	4
Stanislaus	Modesto City-County AP	45738	2,358	1,570	4
Stanislaus	Newman	46168	2,680	1,449	4
Stanislaus	Turlock #2	49073	2,519	1,506	4
Sutter *	Yuba City	n/a	2,437	1,762	4
Tehama	Mineral	45679	7,384	81	1
Tehama	Red Bluff WB AP	47292	2,647	1,926	4

**Exhibit I**  
**Annual Heating and Cooling Degree Days**  
**for Selected California Locations**

County	Weather Station Location	Cooperative Station ID #	Heating Degree Days (65° Base)	Cooling Degree Days (65° Base)	DOE Climate Zone
Trinity	Big Bar 4 E	40738	3,831	939	4
Trinity	Trinity River Hatchery	49026	4,527	641	3
Trinity	Weaverville	49490	4,721	664	3
Tulare	Ash Mountain	40343	2,741	1,976	4
Tulare	Grant Grove	43551	6,844	155	2
Tulare	Lemon Cove	44890	2,336	1,939	4
Tulare	Lindsay	44957	2,505	1,707	4
Tulare	Lodgepole	45026	8,399	31	1
Tulare	Porterville	47077	2,053	2,246	5
Tulare	Three Rivers Edison PH1	48917	2,615	1,983	4
Tulare	Visalia	49367	2,588	1,685	4
Tuolumne	Cherry Valley Dam	41697	4,942	656	3
Tuolumne	Hetch Hetchy	43939	4,740	619	3
Tuolumne	Sonora R S	48353	3,618	1,030	4
Ventura	Ojai	46399	2,092	989	4
Ventura	Oxnard (Camaril	46569	1,935	404	4
Ventura	Santa Paula	47957	1,904	602	4
Yolo	Brooks Farnham Ranch	41112	2,815	1,393	4
Yolo	Davis 2 WSW Exp Farm	42294	2,853	1,127	4
Yolo	Winters	49742	2,527	1,640	4
Yolo	Woodland 1 WNW	49781	2,683	1,417	4
Yuba	Dobbins 1 S	42456	3,418	969	4
Yuba	Marysville	45385	2,488	1,687	4
Yuba	Strawberry Valley	48606	5,298	312	3

Reference: National Oceanic & Atmospheric Administration (NOAA), Annual Degree Days to Selected Bases, 1971-2000, Released 6/20/02.

If a city or a nearby location where the services are being provided is not listed herein, Subgrantees should contact the local building department to determine the annual heating and cooling degree days. If this information is not available locally, Subgrantees shall exercise their best judgment based on information from similar climate areas.

\* There was no weather station available for Sutter County from the NOAA listing used. HDD and CDD were calculated by using an average between Red Bluff (47292) and Sacramento 5 ES (47633).